

Attachment C



senior health information  
& insurance education

# Regional Coordinator Handbook



LOCAL HELP FOR PEOPLE WITH MEDICARE

## Table of Contents

<b><i>Introduction to the SHIINE Regional Coordinator Handbook</i></b>	<b>4</b>
<b><i>SHIINE and the Regional Coordinator</i></b>	<b>1</b>
Definitions, Abbreviations and Acronyms	2
What is the SHIINE Program?	4
Our Grants	5
SHIINE Organization in South Dakota	6
SHIINE Supplemental Agreement for Contracted Regional Coordinator Offices	Error! Bookmark not defined.
SHIINE Regional Coordinator Job Description	8
Reporting SHIINE Activities and Training for Regional Coordinators	10
SHIINE Reporting Procedure	10
SHIINE Volunteer Risk & Program Management Worksheet	11
Volunteer Risk and Program Management Policies	12
<b><i>Volunteer Roles &amp; Recruitment</i></b>	<b>24</b>
SHIINE Volunteer Roles: Volunteer Role Classifications	25
Volunteer Role Descriptions	27
Recruitment Planning Worksheet	39
Recruitment and the Media	39
<b><i>Application, Screening and Placement</i></b>	<b>40</b>
SHIINE Screening Process Flowchart	41
Volunteer Application and Interview	43
FAQ's About the SHIINE Application & Screening Process	43
The Screening Matrix	45
Screening Processes	46
Criminal Record Disqualifications	46
Accepting or Declining a Volunteer	48
SHIINE Volunteer Training	49
Reporting SHIINE Activities and Training for Volunteers	51
<b><i>Volunteer Management: Supervision, Problem-Solving, Recognition</i></b>	<b>51</b>
Volunteer Personnel File and Checklist	52
Volunteer Recognition/Contact Log	52
Volunteer Annual Review Packet and Procedure	53
SHIINE Screening Schedule	!

Volunteer Complaint Procedure _____	55
Volunteer Corrective Action Protocol _____	55
Guidance for Volunteer Exit _____	57
<b><i>Risk Management and Information Technology Safety</i></b> _____	<b>61</b>
Incident Response Protocol _____	62
Emergency Contact Procedures _____	65
Liability Protection for Volunteers _____	65
SHIINE Protocol on Home Visit Counseling _____	67
SHIINE Volunteer Safety Training _____	68
Information Management Protocol _____	70
Internet Protocol _____	72
Security Breach Procedure: Reporting lost or stolen consumer information _____	73
SHIINE Reporting and Referral Software Use _____	73

# Introduction to the SHIINE Regional Coordinator Handbook

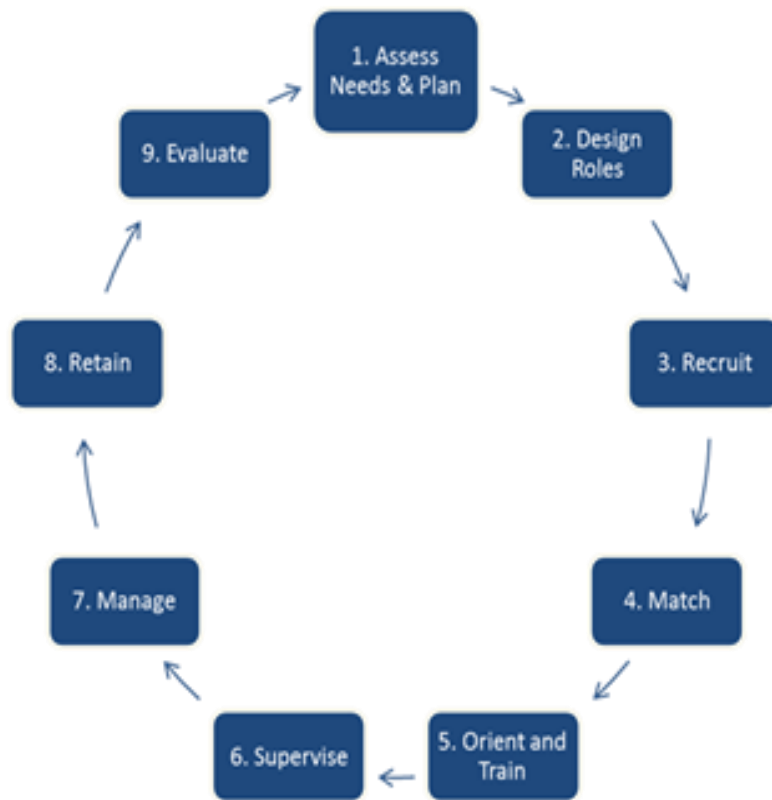
Welcome to the South Dakota SHIINE Regional Coordinator Handbook. This manual combines under one cover the tools—procedures, protocols, forms, information guides—that you use in managing the SHIINE volunteer program.

Your Regional Coordinator Handbook is organized following (approximately) the steps of the Volunteer Involvement Cycle, shown below.

Outside of the Regional Coordinator Handbook, there are several resources good to keep in mind:

- The *SMP Volunteer Program Management Manual* is great source of best practices in volunteer management.
- The Regional Coordinator Resources page on our website, <http://shiine.net/shiine-regional-coordinators.html> , contains many items needed for volunteer management, marketing, and state/regional communications.
- The SMP Resource Library, at [www.SMPresource.org](http://www.SMPresource.org)
- The SHIP National Technical Assistance Center, at [www.SHIPtcenter.org](http://www.SHIPtcenter.org)

## Volunteer Involvement Cycle



# SHIINE and the Regional Coordinator

This section contains information about the Regional Coordinator's position, program responsibilities, and background on the SHIINE program.

## **Contents of the SHIINE and the Regional Coordinator Section**

- Definitions, Abbreviations, Acronyms
- What is the SHIINE Program?
- Our Grants
- SHIINE Organization in South Dakota
- SHIINE Supplemental Agreement for Contracted Regional Coordinator Offices
- SHIINE Regional Coordinator Job Description
- Reporting SHIINE Activities and Training for Coordinators
- SHIINE Reporting Procedure
- Summary list of Volunteer Risk and Program Management Policies
- SHIINE Volunteer Program Management Systems & Infrastructure Worksheet

## Definitions, Abbreviations and Acronyms

**ACL:** The Administration for Community Living (ACL), an operating division within the federal Department of Health and Human Services (HHS) with headquarters in Washington, DC and regional offices in ten cities, includes the Administration on Aging, the Administration on Intellectual and Developmental Disabilities, and the Office on Disability.

**AoA:** The Administration on Aging (AoA), an agency within the Administration for Community Living, administers all programs funded by the Older Americans Act and competitive grants, including SMP.

**CMS:** The Centers for Medicare & Medicaid Services (CMS) administers the Medicare program and oversees state administration of the Medicaid programs. The Center for Program Integrity is a bureau within CMS that works with various contractors to identify potential fraud, waste and abuse in the original, fee-for-service Medicare program. The Center for Drug and Health Plan Choice is responsible for overseeing the Medicare Advantage (Part C) and Medicare Prescription Drug (Part D) programs. An Administrator appointed by the Secretary of HHS heads CMS.

**HHS:** The Department of Health & Human Services (HHS) is one of two departments within the executive branch of the federal government responsible for administering the Health Care Fraud & Abuse Control (HCFAC) program of which the Medicare Integrity Program (MIP) is a part. The Administration on Aging (AoA), Administration for Community Living (ACL), the Centers for Medicare & Medicaid Services (CMS) and the HHS Office of the Inspector General (OIG) are units within HHS. The Secretary of HHS holds a cabinet-level position.

**DHS:** The South Dakota Department of Human Services, Division of Long Term Services and Supports (LTSS) is the sole state agency designated under the Older Americans Act to administer programs and services for South Dakotans 60 years of age and older. LTSS plans and coordinates, funds, and monitors a statewide program of services to meet present and future needs of older South Dakotans. The Department of Human Services has administered the SHIINE program since its inception in 1992.

**DoJ:** The Department of Justice (DoJ) is the other federal department that administers the HCFAC program. The Federal Bureau of Investigation, an agency within the DoJ, works with the HHS Office of Inspector General to investigate health care fraud and apprehend alleged perpetrators. The DoJ's U.S. Attorney offices throughout the country prosecute criminal health care fraud cases.

**OIG:** The HHS Office of Inspector General (OIG) investigates Medicare and Medicaid fraud, and refers criminal cases for prosecution to the U.S. Attorney offices. The OIG has authority to issue civil monetary penalties and exclude providers from the Medicare and Medicaid programs.

**SHIP:** The State Health Insurance Assistance Program (SHIP) is an HHS-funded network of state-based programs that provide one-on-one counseling to people with Medicare and their caregivers. All 50 states and four territories have a SHIP. SHIINE is South Dakota's SHIP.

**SHIP NPR:** The online national reporting system that SHIINE uses to report client contacts, public education and outreach activities.

**SIRS:** SMP Information and Reporting System (SIRS) is the web-based electronic tool for SMP management, tracking and reporting of program outcomes to the Office of Inspector General. This data system is used by Regional Coordinators and volunteers who handle complex interactions only.

**SMP:** The Senior Medicare Patrols empower and assist Medicare beneficiaries, their families, and caregivers to prevent, detect, and report health care fraud, errors, and abuse through outreach, counseling, and education. SHIINE is South Dakota's SMP.



# What is the SHIINE Program?

## State Health Insurance Assistance Programs

The South Dakota Department of Human Services received its initial grant award (SHIP grant) in 1992, creating South Dakota's state health insurance assistance program. This program became known as the South Dakota's Senior Health Information and Insurance Education Program (SHIINE). The SHIINE program is coordinated within the South Dakota's Department of Human Services and contracts with organizations to serve as regional coordinators across the state. SHIINE has a statewide network of volunteers and program partners trained to help people with Medicare. SHIINE currently receives funding from several grants including the SHIP grant, the MIPPA grant, and the SMP grant.

## Our Mission

SHIINE empowers and assists Medicare beneficiaries, their families, and caregivers by providing free, in depth, one-on-one insurance counseling and assistance and educating them on how to prevent, detect, and report health care fraud, errors, and abuse through outreach, counseling, and education.

## Our Counselors

SHIINE counselors receive training on all aspects of Medicare and other health insurance issues. They can be staff, partners or volunteers. Much of the time, counselors are volunteers for the SHIINE program. Counselors are available to meet with consumers for personalized counseling sessions, to help with existing problems, and to provide support during the decision-making process. SHIINE counselors will not recommend policies, companies, or insurance agents, but will provide free, unbiased answers to the questions of consumers and their caregivers.

SHIINE also provides other free services for the public. Counselors are available to present to organizations or groups on a variety of health insurance topics, set up informational displays, attend local events, and coordinate regular availability for walk-in counseling opportunities.

## Our Services

The primary role of the SHIINE program is to provide outreach and education to people with Medicare and others regarding health insurance options; benefits; choices; and avoiding, detecting, and preventing health care fraud. SHIINE volunteers and staff are available on the local, regional, and statewide level. In doing so, SHIINE helps educate and protect individuals with disabilities and the aging population while promoting integrity of the Medicare program. SHIINE staff and volunteers participate in a variety of outreach activities, including public presentations, and enrollment events. Any type of media activity needs to go through the State SHIINE Director for approval from the Communications Director for the Department of Human Services.

SHIINE offers a toll-free hotline in each region for those with Medicare questions or concerns. Any person eligible for Medicare, concerned relatives, or friends can call the SHIINE toll-free phone numbers for answers to insurance questions or to arrange a meeting with a SHIINE volunteer.

The SHIINE office develops and maintains a library of different reference materials. Resources cover

a variety of consumer education issues including: Medicare, group insurance, prescription drug coverage, Medicare fraud and abuse and many other topics. All materials are available to SHIINE staff, volunteers, and consumers.

## Our Grants

### **SHIP Grant**

Between 1978 and 1990, a number of states began programs to provide unbiased information about health insurance options to older Americans at no charge. These pioneer health insurance counseling programs assisted thousands of senior citizens in making better-informed decisions about their health insurance coverage. In late 1990, the Centers for Medicare & Medicaid of the U.S. Department of Health and Human Services commissioned the development of a model volunteer training program to provide all states with a prototype for the counseling of older Americans about health insurance and related topics. The program became known as the State Health Insurance Assistance Program (SHIP) and there is one in every state, Washington D.C., the Virgin Islands, Puerto Rico and Guam. Each state is allowed to administer their own program, creating great diversity in SHIP programs across the country. In 2014, the Administration for Community Living (ACL) took over the funding for the SHIP program. Regardless of the Federal Agency administering the grant, the name of the state's SHIP program, or state entity that administers the program, each SHIP has the same goal: to provide free, objective, and local one-on-one health insurance counseling and assistance to people with Medicare and their families.

### **SMP Grant**

The U.S. Administration on Aging (AoA) provides funding through the Older Americans Act for the SMP projects. In 2011, the Older Americans Act grants for SMP projects totaled \$9.1 million. Also, in fiscal year 2011, the Centers for Medicare & Medicaid Services in partnership with AoA provided an additional \$9 million to the SMP projects to expand the capacity of the program and to increase outreach and education efforts in areas with high Medicare fraud rates. SMP projects operate in all fifty states, Guam, Puerto Rico, the Virgin Islands, and the District of Columbia.

SMP activities support the AoA's broader goals of promoting increased choice and greater independence among older adults. The activities of the SMP program also serve to enhance the financial, emotional, physical and mental well-being of older adults -- thereby increasing their capacity to maintain security and independence in retirement and to make better financial and health care choices.

The main goal of each SMP is to teach Medicare beneficiaries how to: protect their personal identity; identify and report errors on their health care bills; and identify deceptive health care practices, such as illegal marketing, providing unnecessary or inappropriate services and charging for services that were never provided.

In some cases, SMPs do more than educate. When Medicare beneficiaries cannot act on their own behalf, the SMPs work with family caregivers and others to address the problems, and if necessary, make referrals to outside organizations that can intervene. SHIINE received its first SMP grant in 2015 and combined the SMP program's services with the SHIP programs services to expand the reach to Medicare beneficiaries across South Dakota.

## MIPPA Grant

The Administration for Community Living (ACL) funds the Medicare Improvements for Patients and Providers Act (MIPPA) in states, tribal areas, and territories that have been awarded funding through their SHIP, Area Agencies on Aging (AAAs), and Aging and Disability Resource Centers (ADRCs) to help low-income Medicare beneficiaries apply for programs that make Medicare affordable. This is supplemental funding for many SHIP programs across the nation. SHIINE has several objectives for this grant: to help individuals apply for Extra Help/Medicare Savings Programs, serve more individuals in rural areas, and assist hard to reach individuals.

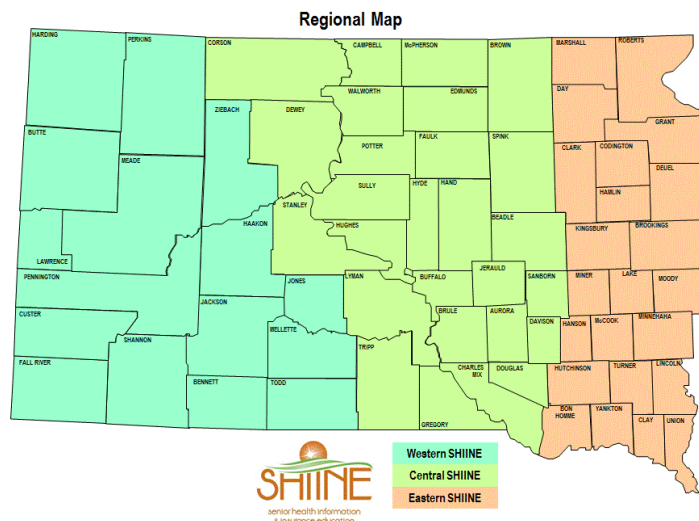
## SHIINE Organization in South Dakota

### Local SHIINE Counselors

Most of the credit for SHIINE's success rests with its core of committed counselors throughout the state. SHIINE has over 200 counselors throughout South Dakota. Most of SHIINE's counselors are volunteers and work with individual clients and help spread the word about SHIINE. Volunteers typically consist of both professionals working in fields related to Medicare (*nursing homes & social workers*) and retired individuals.

### Regional Coordinators

Located in three different regions of the state, regional coordinators assist local volunteers, recruit new volunteers, and provide local SHIINE promotion.



- Eastern South Dakota (Sioux Falls)
  - 1-800-536-8197 or [SHIINE@activegen.org](mailto:SHIINE@activegen.org)
- Central South Dakota (Pierre)
  - 1-877-331-4834 or [SHIINE@centralsd.org](mailto:SHIINE@centralsd.org)
- Western South Dakota (Rapid City)
  - 1-877-286-9072 or [SHIINE@westriversd.org](mailto:SHIINE@westriversd.org)

**SHIINE State Office**

Located within the South Dakota Department of Human Services, Division of Long Term Services and Supports, the SHIINE director works directly with coordinators and volunteers to assist clients and educate them on preventing and detecting Medicare fraud and abuse. The SHIINE director provides training and educational resources statewide. The director administers SHIINE's grants, promotes SHIINE statewide and provides assistance for volunteers and other staff.

- **Caitlin Christensen – SHIINE Director (Rapid City)**
  - (605) 394-2276 or [Caitlin.Christensen@state.sd.us](mailto:Caitlin.Christensen@state.sd.us)

# SHIINE Regional Coordinator Job Description

The Regional Coordinator becomes an expert on the SHIINE volunteer program and the counties in their region. Training and program materials for the SHIINE program are provided by the SHIINE Director, the Department of Human Services, and the National SHIP and SMP Resource Centers websites.

Requirements include:

- Ongoing technical assistance from SHIINE Director at the Department of Human Services.
- Registration and reporting in the STARS reporting systems
- Completion of SMP training modules designed for training volunteers: (please see training matrix)
- Prior to training volunteers, the SHIINE Regional Coordinator makes group presentations, conducts one-to-one counseling sessions, and reports on work performed in SIRS and SHIP NPR.
- The SHIINE Regional Coordinator complies with the Volunteer Risk and Program Management policies and procedures, which include policies for recruiting, screening, supporting, supervising, managing and recognizing volunteers.
- The SHIINE Regional Coordinator creates and implements an outreach plan to recruit volunteers who educate Medicare beneficiaries and their families about their health insurance options, benefits and choices while delivering a message about fraud detection and prevention.
- The SHIINE Regional Coordinator seeks volunteers who plan to serve for a minimum of one year. The SHIINE Regional Coordinator ensures each volunteer is adequately trained and assigns the volunteer duties.
- The SHIINE Regional Coordinator sets goals with volunteers to meet performance criteria set mutually by the Regional Coordinator and the SHIINE Director.
- The SHIINE Regional Coordinator evaluates volunteer performance and provides constructive feedback.
- The SHIINE Regional Coordinator ensures confidentiality throughout the SHIINE program.
- The SHIINE Regional Coordinator will utilize Department of Human Services approved SHIINE logos, SHIINE messaging, marketing and educational materials to promote the SHIINE volunteer program and requests approval for local adaptations.

- The SHIINE Regional Coordinator submits monthly reports. The SHIINE Regional Coordinator devises and maintains a system for gathering the information to complete the reports.
- The SHIINE Regional Coordinator attends and reports during meetings with SHIINE Director.
- When practical, the SHIINE Regional Coordinator is encouraged to collaborate with local SHIINE volunteers to deliver presentations and staff community education events.

## Reporting SHIINE Activities and Training for Regional Coordinators

Position	What to Report	How/Where to Report	When
Regional Coordinators	Volunteer recruitment activities; Public awareness, group presentations, advertising, community exhibits and events, email education, distribution activities, etc.	SHIP NPR- <i>Public Activity and Media (PAM)</i> report	Immediately- no later than the end of the following month
	<u>Counseling</u> : one-to-one activity with beneficiaries or their representatives; always include fraud education information	SHIP NPR- <i>Client Contact Form (CC)</i> ;  Always “✓” Fraud & Abuse under “Medicare (Parts A & B)”	

### SHIINE Reporting Procedure

All trained SHIINE Regional Coordinators and volunteers report SHIINE activities in the SIRS and SHIP NPR databases. If you are new to the Regional Coordinator position, contact the SHIINE Director so set up your accounts in the reporting systems.

#### SHIP NPR Online Reporting System

This is the website SHIINE uses to report all individuals served under the scope of the SHIINE program. All volunteer recruitment activities, public awareness, group education, advertising, community exhibits and events, email education, distribution activities etc. are reported in SHIP NPR on a Public Activity and Media report (PAM).

All client contact information must be reported on the Client Contact Form (CC). The CC is used to report any one-to-one activity with a client or their representative in-person, on the phone, via email or mail, etc. Always include fraud prevention education when talking with a client and check “Fraud & Abuse” under “Medicare (Parts A & B)” when it was discussed.

#### SIRS Online Reporting System

The SMP Information and Reporting System (SIRS) is the nationwide, web-based data system that facilitates reporting of SMP activities. SIRS allows the option for SHIINE staff to enter their own activities in SIRS without logging in to the system, using an external data entry form called “eFile”.

SIRS also allows SHIINE staff with system user access the ability to log in to SIRS to:

- Enter data for activities performed by other staff, volunteers and partners.
- Edit and review individual interactions, group outreach and education, and media outreach and education (referred to collectively as “interactions” in SIRS).
- Search for data entered in SIRS.

SHIINE Regional offices can either ask their volunteers to enter their own data or have someone designated to enter data for the region using reports from SHIP NPR.

## SHIINE Volunteer Risk & Program Management Worksheet

Effective volunteer program management goes a long way to reducing risks. A well-run program is usually a safer program. But volunteer program management systems can also be a source of risks. A volunteer program that is under-staffed, fails to screen appropriately for the responsibilities of each position, or does not orient, train, or supervise its volunteers sufficiently actually creates risks. So, when you are searching out risks as well as ways to reduce risks, be certain to examine your volunteer program's infrastructure and management systems. Complete this worksheet annually with the person designed as the SHIINE regional contract recipient. The worksheet can be found on the regional coordinator resources page on our website.



# Volunteer Risk and Program Management Policies

A comprehensive set of risk and program management policies guide the operation of the SHIINE volunteer program. The policies resulted from being awarded and taking on the Senior Medicare Patrol (SMP) grant in 2015. Nationwide, the SMP program implemented the Volunteer Risk and Program Management (VRPM) project in 2010 to assess and identify the risks involved in the operation of the volunteer program, and to provide guidance and resources to the different statewide SMP projects to help them manage the identified risks. The VRPM project was initiated with these factors in mind:

- Growth of the SMP programs
- Increased awareness about risks related to volunteer involvement, for example, with volunteers who have access to sensitive personal information
- The need to adapt to a changing environment for volunteering in which volunteers assume responsibility for challenging and responsible tasks
- Expectations in the courts and public opinion for high standards and greater accountability in volunteer programs

In September 2016, ACL updated the VRPM policies to revise and streamline them for use by both SMPs and SHIPs. The primary purpose for the VRPM project, and the development of a comprehensive set of risk and program management policies, is to enable South Dakota's SHIINE program to manage their volunteers more safely, effectively, and productively. Safety is a concern for both volunteers and the people—many of who are vulnerable seniors—who benefit from the SHIINE program's services. The VRPM project also promotes effectiveness by setting a high standard of care in regard to volunteer services and fosters the ethical, productive and rewarding engagement of volunteers in the SHIINE program. The creation of national standards for this important area of program operations will enhance the program's results.

## **1.0 Introductory policies**

**1.1** SHIINE accepts and encourages the involvement of volunteers at a range of levels and within all appropriate projects and activities.

**1.2** All volunteers and their coordination in all programs and projects undertaken by or on behalf of SHIINE are subject to the provisions of these volunteer policies.

**1.3** Volunteers are made aware of all SHIINE volunteer policies; compliance with all policies is a minimum expectation of SHIINE volunteers.

**1.4** There are defined roles for SHIINE volunteers within which they serve; volunteers may be qualified to serve in one or more role.

**1.5** The policies may be altered or customized only by authorized staff.

## **2.0 Risk Management and Health and Safety**

**2.1** SHIINE conducts an annual risk assessment on the roles, work, and activities of SHIINE volunteers.

**2.2** SHIINE evaluates its insurance needs annually and ensures that its insurance providers are well aware and up to date on the work done by volunteers of SHIINE.

**2.3** SHIINE volunteers who drive their own vehicle for SHIINE work purposes carry liability coverage on any vehicle so used.

**2.4** Training for volunteers includes discussion of safe work environments and practices. See Volunteer Safety Evaluation on the regional coordinator resources page on our website.

**2.5** SHIINE volunteers who witness instances of abuse of beneficiaries while performing their assigned duties must report this to their SHIINE Regional Coordinator.

**2.6** Face-to-face work with beneficiaries takes place at SHIINE offices or in an appropriately private location.

**2.7** Home visits by SHIINE volunteers or staff to a beneficiary's residence are generally prohibited. Exceptions are made only with advance written permission and by following a strict protocol.

**2.8** Any accident or injury to or by a volunteer is reported immediately to the Regional Coordinator. An Incident Reporting Form (can be found on the regional coordinator resources page on our website) and response protocol exist.

**2.9** In response to a reported incident involving SHIINE volunteers, the SHIINE Regional Coordinator oversees steps necessary to respond to and resolve the incident.

**2.10** SHIINE has emergency contact information on all of its volunteers and a procedure that enables volunteers to communicate with their SHIINE Regional Coordinator or the SHIINE Director at any time volunteers may be on duty.

**2.11** SHIINE has a plan for dealing with natural disasters. This plan includes a communication plan for alerting volunteers who might be engaged in performing SHIINE work in affected communities.

## **3.0 Volunteer Program Management**

### **A. Infrastructure**

**3.1** SHIINE VRPM policies apply equally to all SHIINE volunteers, and compliance with these

policies is a condition of continued involvement in the SHIINE program.

**3.2** SHIINE strives to develop a volunteer population that mirrors the diversity of the community in which it operates.

**3.3** Relatives of beneficiaries may serve as SHIINE volunteers but are not assigned to counsel members of their family who are receiving services.

**3.4** SHIINE accepts the service of volunteers with the understanding that such service is at the sole discretion of SHIINE. SHIINE may at any time decide to terminate the relationship or change a volunteer's assignment, and a volunteer may at any time, for any reason, decide to resign from his or her volunteer service with SHIINE. An exit survey is available for volunteers who wish to leave the SHIINE program, and an exit checklist is available to guide Regional Coordinators through the volunteer resignation process.

**3.5** Volunteers have the right to meaningful assignments and good treatment, and they have the responsibility to do their best, comply with policies, and stay true to the program.

**3.6** SHIINE ensures that an infrastructure is in place to support volunteer involvement and volunteer program management.

**3.7** SHIINE Regional Coordinators manage all facets of volunteer coordination and management. SHIINE Regional Coordinators are designated as the primary volunteer supervisors with the guidance and supervision of the SHIINE Director.

**3.8** SHIINE's budget provides for space, financial resources, and support staff to operate the SHIINE volunteer program in an effective manner.

**3.9** A system of records is maintained on each volunteer, with information submitted timely, and kept with the same confidentiality as staff personnel records.

**3.10** Upon reasonable notice, and while accompanied by the SHIINE Regional Coordinator, volunteers may examine the contents of their own personnel file.

**3.11** The SHIINE Director with Regional Coordinators and the SHIINE Statewide Volunteer Coordinator conduct an annual evaluation of the infrastructure in place to support volunteer involvement in SHIINE.

## **B. Role Design**

**3.12** Creativity in volunteer role development is encouraged to make participation accessible to a diverse population of volunteers with a wide array of skills.

**3.13** Volunteers supplement but do not displace paid staff.

**3.14** Volunteer role descriptions are clear, complete, and current, and are provided to applicants and to new volunteers.

**3.15** Each volunteer role has a standard of performance that lists the work to be done and the amount of work within an appropriate time frame. Volunteers have a right to know the standards that apply to the work they do.

**3.16** Volunteers have the right to refuse any assignments, and should refuse to do work for which they are not qualified.

**3.17** Placement of SHIINE volunteers is done by Regional Coordinators. Volunteers are supported in their volunteer role by their Regional Coordinator and other SHIINE staff.

**3.18** Worksites are safe and have the facilities, equipment, and space necessary for volunteers to perform their duties.

**3.19** All volunteer roles have a minimum of one year term of service. Volunteers sign an agreement to this defined term of work. The agreement is mandatory where extensive training is required.

**3.20** At the discretion of the Regional Coordinator, leaves of absence are granted to volunteers. Leave does not necessarily alter or extend the previously agreed-upon completion date of the volunteer's term of service. This is negotiated with the volunteer when the leave is arranged.

## **C. Recruitment**

**3.21** Volunteers fulfill all screening, orientation, and training requirements for the role in which they are interested before being accepted into service. Applicants who are found to be unsuitable are respectfully declined.

**3.22** Volunteer roles are open to community members of all ages above the age of majority (18) regardless of gender, disability, race, or other condition.

**3.23** Volunteer roles that may be open through SHIINE to the engagement of minors have clearly prescribed responsibilities well-suited to young persons, occur in a supervised and nonhazardous environment, and comply with all child labor laws.

**3.24** SHIINE volunteer opportunities are publicized broadly to ensure no group of people is excluded.

**3.25** Volunteer opportunity inquiries are handled with a reasonable amount of time.

**3.26** SHIINE Regional Coordinators maintain a wait list if immediate placement is not available for an interested volunteer.

## **D. Screening**

**3.27** SHIINE applies a formal screening and selection process to all prospective volunteers. This

process varies according to the nature of the work to be done. The decision to accept (or not) each volunteer applicant is based on careful consideration of all pertinent information gathered in the screening process. SHIINE screening and acceptance processes comply with standards set by AoA.

**3.28** Screening and acceptance decisions are made by authorized SHIINE personnel only.

**3.29** Applicants for any given role are screened in the same way as all other applicants for that role.

**3.30** SHIINE reserves the right not to accept applicants based on an objective and equitable assessment of their suitability.

**3.31** SHIINE is committed to upholding applicants' rights to know what the screening process will entail, to privacy for their information, and to a timely response. No screening inquiry is undertaken without the prior knowledge and permission of the applicant. Applicants sign an agreement allowing SHIINE to complete their screening inquiries.

**3.32** A standardized application form is completed by all prospective SHIINE volunteers.

**3.33** All prospective volunteers are interviewed by their SHIINE Regional Coordinator.

**3.34** In cases where suitable placement for a prospective volunteer cannot be found with the SHIINE program, the Regional Coordinator will recommend that the volunteer seek placement elsewhere.

**3.35** No person who has a conflict of interest in connection with the work they will do at SHIINE, whether personal, philosophical, or financial, may serve as a volunteer.

**3.36** At least three personal and/or professional references are checked for prospective volunteers who may be placed in a position of trust at SHIINE.

**3.37** Background checks vary according to volunteer role. Social Security numbers of volunteer applicants are destroyed at the time the acceptance decision is made.

**3.38** All prospective volunteers applying for any position of trust at SHIINE are subjected to a federal level criminal records check.

**3.39** Current and prospective volunteers whose volunteer responsibilities at SHIINE involve operation of a motor vehicle are subjected to driver's license and record checks.

**3.40** Volunteers who have any medical or psychological condition that might affect the safe and effective performance of their volunteer work are requested to consult with their Regional Coordinator about their ability to perform their assigned duties.

**3.41** All new volunteers are placed in a mentoring period of three months after their initial training is complete and they have been placed into a role.

**3.42** SHIINE has a screening documentation creation and retention process that sets out what documentation is created, for how long it is retained, and when it is to be destroyed.

- 3.43** The confidentiality of information collected during volunteer screening is carefully protected.
- 3.44** Falsification of information at any point during screening is grounds for immediate disqualification from the application process or immediate dismissal if the falsehood is discovered after acceptance.
- 3.45** All SHIINE volunteers, regardless of length of tenure, are subject to the provisions of all volunteer policies including those coming into effect during their tenure. Existing volunteers must meet all new screening standards relevant to the role(s) they hold, with the exception of interviews and reference checks.
- 3.46** SHIINE has a policy on how often various record checks will be repeated.
- 3.47** Prospective volunteers are screened to the level of intensiveness dictated by the role(s) for which they apply. If a volunteer applies for transfer to another volunteer role for which the initial screening process is more intensive than for the role the volunteer has been occupying, the volunteer is subjected to the additional screening inquiries of the role being applied for.
- 3.48** Re-acceptance of previous SHIINE volunteers who return after an absence of more than eighteen months are subject to all application and screening processes.
- 3.49** Screening protocol is adjusted as roles change and/or as standards of care and due diligence recommend.

## **E. Placement**

- 3.50** Volunteers are placed in roles that suit their interests and capabilities and that are supported by staff. Final placement decisions are made at the discretion of SHIINE.
- 3.51** Wherever possible, paid staff who will be working with the volunteer participate in the interview and placement process.
- 3.52** Volunteer service begins only after official notice of acceptance, completion of necessary enrollment paperwork, and completion of required training.
- 3.53** Regional Coordinators, upon placement of a volunteer into service with the SHIINE program, will check-in with new volunteers to determine that the volunteer is comfortable and suitable for the role.
- 3.54** Volunteers who are re-assigned to a new role are interviewed for the role and undergo all appropriate up-screening, training and orientation before they begin work.

## **F. Orientation and Training**

- 3.55** All volunteers receive orientation to the program mission and to their role.
- 3.56** Volunteers fulfill all mandatory training before any work is assigned.
- 3.57** At the discretion of SHIINE Director, credit may be given for training received from another organization that overlaps with training provided by SHIINE.
- 3.58** Volunteers are tested following training and are not assigned until they are qualified.
- 3.59** Volunteers receive specific on-the-job training.
- 3.60** SHIINE staff with responsibility for volunteer management provide input to the design and delivery of both the orientation and training of volunteers.
- 3.61** The participation of experienced volunteers is invited in the design and delivery of volunteer orientation and training.
- 3.62** At the discretion of the SHIINE Director, updated training and/or recertification training is required for some volunteer roles.
- 3.63** Volunteers are encouraged to attend conferences and meetings that are relevant to their volunteer assignments, including those run by SHIINE and by other organizations.

## **G. Performance Management**

- 3.64** A constructive, positive, and success-oriented performance management system is in place at SHIINE. Its three primary components are supervision, performance evaluation, and corrective action.
- 3.65** Regional Coordinators follow performance management policies and procedures in their day-to-day work with volunteers.
- 3.66** New volunteers are told during screening and orientation that there is a volunteer performance system. They are provided a Volunteer Handbook.
- 3.67** SHIINE has the right and the obligation to supervise, support and manage the work done by volunteers, and to determine the nature and extent of this supervisory guidance.
- 3.68** Supervision and support reflect the principle of positive, constructive, and success-oriented guidance that underpins the SHIINE volunteer performance management system. Volunteers can expect day-to-day feedback that helps them understand expectations and standards and guidance how to achieve them.
- 3.69** Upon acceptance into service with SHIINE, volunteers agree to accept supervision and support from the appropriate Regional Coordinator.

**3.70** Each volunteer who is accepted to a SHIINE role has an identified Regional Coordinator who is responsible for direct, day-to-day supervision and support of that volunteer.

**3.71** Experienced and qualified volunteers may be assigned volunteer supervision and support responsibilities provided that they are, themselves, under the direct supervision of their Regional Coordinator.

**3.72** Regional Coordinators make sure volunteers receive all necessary information pertinent to their work assignments.

**3.73** Volunteers receive periodic evaluation of their work, and their records are kept current.

**3.74** Evaluations are documented and put in volunteer's file. Plans for improvement have follow-up dates and procedures.

**3.75** The SHIINE Director is informed immediately of any substantial change in the work or status of a volunteer and is consulted in advance before any corrective action is taken.

**3.76** Corrective action, when necessary, is success-oriented and has a range of techniques to help volunteers meet performance and behavior expectations. SHIINE has a written protocol for corrective action. Regional Coordinators are trained in the constructive and respectful application of the corrective action process. Corrective action has a range of interventions from informal to formal, and in the absence of success of other methods, includes potential dismissal of a volunteer. The seriousness of corrective action intervention is matched to the nature of the performance issue and becomes more serious with either the unacceptability of the transgression or repeated failure of the volunteer to meet expectations.

**3.77** Volunteers who fail to perform assignments or to comply with SHIINE rules or procedures despite supervisory support and corrective action are, as a last resort and with the opportunity to discuss the reasons and the process, subject to dismissal. The SHIINE program has established a list of specific grounds for dismissal. They are listed in the Volunteer Handbook.

**3.78** Some volunteer behaviors can be so unacceptable that they trigger immediate dismissal. If there is some question about the unacceptable behavior, the volunteer is immediately suspended until an investigation is complete. Grounds for immediate dismissal, includes, but is not limited to, serious illegal acts, breach of confidentiality, or violence in the workplace.

**3.79** When a volunteer departs for any reason, SHIINE Regional Coordinators send written notice to all affected SHIINE personnel

**3.80** When a volunteer is dismissed, all SHIINE connections cease. Any active work relationships with beneficiaries or open cases are immediately reassigned; affected beneficiaries are notified of the reassignment of their cases.

**3.81** Serious formal corrective decisions are reviewed by the SHIINE Director. An appeal process is in place and outlined on the Volunteer Complaint Form.

**3.82** A grievance process is in place and volunteers are aware of the procedures. Volunteers who



have complaints take them to their SHIINE Regional Coordinator. If the grievance is about the coordinator, the complaint goes to the SHIINE Director. See the Volunteer Complaint Form on the regional coordinator resources page on our website.

**3.83** SHIINE has a process for investigating and resolving complaints from beneficiaries and other outside parties against volunteers. See Volunteer Complaint Form on the regional coordinator resources page on our website.

**3.84** Volunteers may resign from their volunteer service with SHIINE at any time.

**3.85** The commitment of SHIINE volunteers occasionally leads to volunteers who attempt to continue providing service even when their capacities have diminished to a point where quality of service and safety become issues. The SHIINE Director must be consulted when this situation presents itself for guidance on protocol.

**3.86** An exit survey (can be found on the regional coordinator resources page on our website) is made available to departing volunteers.

## **H. Volunteer Behavior, Performance and Roles**

**3.87** Questions regarding interpretation of these policies should be addressed to the appropriate SHIINE staff for clarification. Not understanding a policy is not acceptable grounds for failure to comply.

**3.88** Volunteers are objective, timely, conscientious, and act in conformity with the code of conduct and consistent with their training.

**3.89** Volunteers know and respect the boundaries of their role.

**3.90** Volunteers provide service without regard to the beneficiary's background or characteristics. Volunteers do not recommend or endorse specific services, providers or products to beneficiaries.

**3.91** Volunteers represent SHIINE while serving, but they do not represent themselves as spokespersons of SHIINE. SHIINE provides volunteers a list of prohibited actions in this regard.

**3.92** SHIINE volunteers are provided identification that establishes their affiliation with SHIINE. Volunteers use the identification only when undertaking official and authorized SHIINE duties.

**3.93** Volunteers do not use their SHIINE affiliation to endorse any issue or business or to promote any religious or political belief, perspective, or practice.

**3.94** Volunteers are required to maintain strict confidentiality of all protected information.

**3.95** As representatives of SHIINE volunteers, like staff, are responsible for presenting a good image to beneficiaries and to the community.

**3.96** Volunteers are required to record and submit their data, hours, and activities within an

appropriate timeframe.

**3.97** SHIINE expects volunteers are reliable and punctual. When expecting to be absent from a scheduled duty, volunteers inform their Regional Coordinator as far in advance as possible so alternate arrangements may be made.

**3.98** Action is taken on all complaints of harassment, whether made formally or informally.

**3.99** SHIINE does not tolerate the use of alcohol or illegal drugs in its work environment.

**3.100** SHIINE volunteers do not accept gifts from beneficiaries, their families or representatives. Any such offerings are respectfully and tactfully declined.

**3.101** It is not appropriate for SHIINE volunteers to benefit materially from their SHIINE duties.

**3.102** Volunteers may be eligible for reimbursement of reasonable expenses incurred while undertaking volunteer work for SHIINE. See the Expense Reimbursement Form on the regional coordinator resources page on our website.

**3.103** Volunteers have access to SHIINE materials and equipment necessary to fulfill their duties, and use such only when directly required for the volunteer task.

**3.104** Volunteers maintain boundaries in their relationships with beneficiaries; personal invitations are declined.

**3.105** SHIINE volunteers do not enter into any financial transactions with beneficiaries, their family members or caregivers.

**3.106** Volunteers do not engage in political activities, campaigning, or lobbying during volunteer hours.

**3.107** Volunteers demonstrate a respect for the cultures of beneficiaries with whom they work and are sensitive to others' beliefs, traditions, and lifestyles.

**3.108** SHIINE is respectful of the paid staff in facilities where the SHIINE performs services. If labor actions are occurring at these facilities, SHIINE will determine whether volunteers should continue to provide services at this venue.

## **I. Retention and Recognition**

**3.109** SHIINE has a system for recognizing and rewarding the work done by volunteers, both individually and collectively.

**3.110** SHIINE staff and volunteers responsible for volunteer supervision provide recognition of volunteer service on a regular and frequent day-to-day basis.

**3.111** Volunteers are encouraged to develop and expand their skills while serving with SHIINE.

**3.112** Whenever possible, SHIINE volunteers are provided feedback on the results of their work.

**3.113** SHIINE staff who work effectively with volunteers are recognized for their work.

#### **J. Volunteer/Paid Staff Relationships**

**3.114** Volunteers and paid staff are equal partners in implementing the missions and programs of SHIINE.

**3.115** Regional Coordinators and the SHIINE Director have the responsibility to clearly identify their role description to volunteers.

**3.116** When filling SHIINE staff positions that will be working with volunteers, previous experience in working with volunteers is a key consideration in hiring into that role.

**3.117** Regional Coordinators supervise volunteers and provide day-to-day management of all volunteers under the guidance of the SHIINE Director using the Regional Coordinator Handbook as a guide to the volunteer management processes of the SHIINE program.

**3.118** Volunteers in supervisory positions are afforded the ability to participate in training to improve their supervisory and volunteer management skills.

**3.119** Volunteers are assigned to projects only by mutual consent between the Regional Coordinator and the volunteer.

**3.120** All SHIINE paid staff will be given orientation by their supervisor as to the structure and organization of the SHIINE program including the volunteer management system.

**3.121** SHIINE staff members that work closely with or supervise volunteers have those functions assessed as part of their performance evaluation. Volunteer input is invited into this process.

**3.122** Where volunteers and SHIINE staff work together, individuals are evaluated on their own performance as well as on their ability to develop effective working relationships with other team members.

#### **4.0 Information Technology**

**4.1** SHIINE has in place an information management protocol that outlines volunteer access to beneficiary information and the safe operation of computers used to collect and store confidential information.

**4.2** SHIINE has a protocol for use of the internet covering email use and appropriate access to websites.

**4.3** If data is misplaced or stolen, volunteers immediately notify their Regional Coordinator so

that appropriate notification can be made to affected beneficiaries and authorities, and future safeguards are instituted as appropriate.

**4.4** SHIINE has a web-based software program and processes in place for reporting program outcomes. Volunteers who are given their own user accounts do not share them with other staff or volunteers.

**4.5** Social media should be used responsibly by volunteers. The same principles and policies that apply to volunteer behavior in any volunteer role also apply to all activities online.

# Volunteer Roles & Recruitment

## Contents of the Volunteer Roles & Recruitment Section

- SHIINE Volunteer Roles: Volunteer Role Classifications
- Volunteer Role Descriptions
- Recruitment Planning Worksheet
- Recruitment and the Media

# SHIINE Volunteer Roles: Volunteer Role Classifications

**South Dakota's SHIINE program is supported by six classifications of roles.**

- Distributing information: This role involves transporting and disseminating SHIINE information materials to sites and events, and may include presenting prepared copy or performing scripted activities for small groups. Volunteers who work in this role do not engage in discussions with others about personal information or situations. It is not considered to be a position of trust.
- Assisting with administration: This role involves such work as copying, filing, data entry, scheduling appointments, and placing phone calls in support of SHIINE activities. Volunteers who work in this role do not field questions from the public. It is not considered to be a position of trust.
- Staffing exhibits: This role involves staffing information kiosks or exhibits at events such as health fairs. Volunteers who staff exhibits provide general information about SHIINE to the public and answer simple inquiries. It is a position of trust.
- Making group presentations: This role involves giving substantive presentations on SHIINE topics to small and large groups, with the opportunity for interaction with the audience during time set aside for Q & A and discussion. It is a position of trust.
- Counseling: This role involves direct discussion with beneficiaries about their individual situations and may include review of personal information such as Medicare Summary Notices, billing statements and other related financial and health documents. It is a position of trust.
- Handling complex issues and referrals: This role involves in-depth interactions with beneficiaries who are reporting specific instances of health care fraud, error, and abuse. Volunteers who serve in this role may act on behalf of a beneficiary to correct an error or refer suspected fraud and abuse to appropriate authorities. It is a position of trust.
- Other Roles: Regional Coordinators can assign volunteers to other roles suitable for their region's needs. Those roles can include but are not limited to:
  - Mentor
  - Counseling Site Coordinator
  - Special Projects
  - Volunteer Focus Groups

The function of the role would determine if it is a position of trust.

SHIINE considers making group presentations, staffing exhibits, counseling, and handling complex issues and referrals to be "positions of trust." This means that the roles involve access to

beneficiaries or other vulnerable people, personal or confidential information, or to money or other valuables. The positions of trust are subject to more rigorous screening procedures than the roles involving administration and information distribution. If a volunteer decides to transfer from one role to another, please keep in mind that they may be required to undergo a more intensive screening process to qualify for placement in the new role.

**Volunteers with Disabilities:** The SHINE program values the service of volunteers with disabilities. When requested, the program will make reasonable accommodation to meet the special needs of volunteers with disabilities.

# Volunteer Role Descriptions

## Volunteer Role Description: Distributing Information

### Purpose

To empower and assist Medicare beneficiaries and their caregivers to learn more about Medicare and prevent, detect and report health care fraud, error, and abuse by transporting and disseminating SHIINE information to sites and events throughout the community, and/or presenting prepared copy or scripted activities for outreach.

### Suggested Activities

Deliver and disseminate SHIINE hard copy education and information materials through:

- Senior residential facilities, including senior apartment buildings and residential care facilities
- Senior centers and community centers
- Health care providers, including hospitals and clinics
- Agencies that serve Medicare and Medicaid beneficiaries and their caregivers
- Health fair and senior fair booths or kiosks
- Libraries

Read or present prepared information materials, or perform scripted activities, to inform and educate Medicare and Medicaid beneficiaries, their caregivers, and others at meetings and other events.

Identify other locations that will accept and display SHIINE education and information materials.

### Limitations

Volunteers whose role is to distribute information do not engage beneficiaries in individual discussions about personal information or situations. Instead they defer questions about specific cases to SHIINE volunteers who are qualified to handle simple inquiries or provide counseling services.

### Performance Measures and Standards

This activity will be measured by the number of SHIINE education and information materials (e.g., brochures and fact sheets) taken from the dissemination locations, and, when applicable, by the number of presentations or performances and the number of people in the audience. The Regional Coordinator confers with the volunteer at the beginning of the assignment and at periodic check-in meetings and annual reviews to determine a standard number of materials and presentations delivered.



**Qualifications**

- Ability to transport and carry SHIINE education and information materials to designated locations
- Valid driver's license
- Automobile insurance
- Good oral communication skills (only applicable if presenting or performing scripted information)
- Ability and willingness to distribute scripted information related to Medicare and preventing, detecting, and reporting health care fraud, errors, and abuse with groups

**Time Commitment**

Volunteer schedules are flexible. The local SHIINE Regional Coordinator works with each volunteer who distributes information to determine the number of hours the volunteer works each month, and to schedule assignments accordingly. Because of the training SHIINE volunteers receive, they are asked to make a minimum commitment of one year.

**Location**

Volunteers who distribute information work in their vehicles and at sites throughout the local community.

**Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

**Benefits**

SHIINE volunteers who distribute information have the satisfaction of participating in a national effort to educate and empower Medicare beneficiaries, their caregivers, and the general public about Medicare and health care fraud, errors, and abuse. They receive recognition for their contributions to the program.

## **Volunteer Role Description: Assisting with Administration**

### **Purpose**

To provide administrative support to the work of SHINE paid and volunteer staff in their mission to educate and empower Medicare beneficiaries and their caregivers to identify billing mistakes and prevent and detect health care fraud, error, and abuse.

### **Suggested Activities**

SHINE volunteers who assist with administration handle tasks such as copying, general filing, and making phone calls in support of SHINE activities, for example, to locate and reserve training space, confirm participant attendance, etc. Volunteers who assist with administration may perform other tasks as mutually agreed, including:

- Word processing
- Data entry
- Scheduling presentations, appointments, and other outreach activities
- Collating
- Internet searches
- Fulfilling requests for information and materials
- Handling mail and correspondence

### **Limitations**

Volunteers who assist with administration do not field questions from the public. Instead they defer requests for information and assistance to paid staff or volunteers who are qualified to handle simple inquiries and/or provide one-on-one counseling.

### **Performance Measures and Standards**

This activity is measured by timely and accurate completion of assigned tasks. The Regional Coordinator confers with the volunteer at the beginning of the assignment and at periodic check-in meetings and annual reviews to determine a standard number of work hours.

### **Qualifications**

- Good oral and written communication skills
- Computer literacy, including familiarity with internet
- Ability to operate office equipment
- Ability to work and get along well with others from diverse backgrounds

**Time Commitment**

Volunteer schedules are flexible. The SHIINE Regional Coordinator works with each volunteer who assists with administration to determine the number of hours the volunteer works each month, and to schedule the work accordingly. Because of the training SHIINE volunteers receive, they are asked to commit to a minimum of one year.

**Location**

SHIINE volunteers who assist with administration work at the offices of the SHIINE Regional Coordinator or other assigned location.

**Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

**Benefits**

SHIINE volunteers receive training on the basics of Medicare and health care fraud, error, and abuse. Volunteers who assist with administration receive additional training on office procedures and the safe use of equipment. All SHIINE volunteers have the satisfaction of participating in a national effort to educate Medicare beneficiaries, their caregivers, and the general public about Medicare, health care fraud, errors, and abuse. They receive recognition for their contributions to the program.

## **Volunteer Role Description: Staffing Exhibits**

### **Purpose**

To empower and assist Medicare beneficiaries, their caregivers, and the general public on Medicare and how to prevent, detect and report health care fraud, error, and abuse by providing outreach through staffing of information kiosks or exhibits at events.

### **Suggested Activities:**

Provide general information about SHIINE, Medicare, and health care fraud, error, and abuse at events by:

- Transporting kiosk materials and supplies to events;
- Distributing written information about the SHIINE program and its services;
- Distributing written information about Medicare and preventing and identifying health care fraud, error, and abuse;
- Answering general questions about the SHIINE program and its services; or
- Responding to simple inquiries.

### **Limitations**

Volunteers who staff exhibits are limited to providing general information about the SHIINE program, Medicare, and fraud, error, and abuse in Medicare. They do not engage in discussions of personal information or situations. They defer requests for counseling to staff or volunteers who are qualified to counsel beneficiaries and/or caregivers.

### **Performance Measures and Standards**

This activity is measured by the number of exhibits the volunteer staffs, the number of people who visit the exhibit, and the number of SHIINE education and information materials (e.g., brochures and fact sheets) taken by those attending the event. The Regional Coordinator has frequent contact with the volunteer to determine the number of exhibits or outreach events the volunteer staffs to help the Regional Coordinator fulfill their scope of work.

### **Qualifications**

- Good oral communication skills
- Ability to transport and carry SHIINE education and information materials to outreach events
- Valid driver's license
- Automobile insurance

- Ability and willingness to learn and share information related to Medicare and preventing, detecting, and reporting Medicare fraud, error, and abuse

**Time Commitment**

Volunteer schedules are flexible. The local SHIINE Regional Coordinator works with each volunteer who distributes information to determine the number of hours the volunteer works each month, and to schedule assignments accordingly. Because of the training SHIINE volunteers receive, they are asked to make a minimum commitment of one year.

**Location**

SHIINE volunteers who staff exhibits work at sites throughout the local community.

**Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

**Benefits**

SHIINE volunteers receive training on the basics of Medicare benefits and health care fraud, error, and abuse. They have the satisfaction of participating in a national effort to educate and empower Medicare beneficiaries, their caregivers, and the general public about Medicare and health care fraud, error, and abuse. They receive recognition for their contributions to the program.

## **Volunteer Role Description: Making Group Presentations**

### **Purpose**

To empower and assist Medicare beneficiaries and their caregivers on Medicare and to prevent, detect and report health care fraud, error, and abuse by educating them on SHIINE topics through substantive presentations to groups in the community.

### **Suggested Activities**

- Make 5-to-30-minute presentations using SHIINE-approved materials and scripts to audiences that consist of Medicare beneficiaries, their caregivers, and/or other members of the public who want to gain awareness of the SHIINE program, information on Medicare, and the national effort to prevent, detect, and report fraud, error, and abuse in the health care system. Group presentations also include an opportunity for Q & A with the audience about covered topics and information. These presentations may take place at:
  - Senior centers and community centers;
  - Health fairs and senior fairs;
  - Medicare education events;
  - Meetings of civic or faith-based organizations;
  - Meetings of health care providers;
  - Meetings of local law enforcement officials;
  - Libraries; or
  - Universities and colleges.
- Identify other audiences and locations where in-depth presentations may be appropriate.

### **Limitations**

Volunteers who make group presentations are limited to providing general information about SHIINE, Medicare, Medicare and Medicaid fraud, error, and abuse, and related topics. They do not engage beneficiaries in individual discussions about personal information or situations other than to answer simple inquiries. They defer requests for counseling to SHIINE volunteers who are qualified to provide one-on-one counseling.

### **Performance Measures and Standards**

This activity is measured by presentations delivered, attendance numbers and an evaluation of the presenter's effectiveness in conveying information about SHIINE topics and program goals. The Regional Coordinator has frequent contact with the volunteer to determine the number of presentations or outreach events the volunteer staffs to help the Regional Coordinator fulfill their scope of work.

**Qualifications**

- Good oral communication and public-speaking skills
- Ability and willingness to learn and share information related to Medicare and preventing, detecting, and reporting health care billing mistakes, fraud, and abuse
- Ability to work and get along well with others from diverse backgrounds
- Ability to operate audiovisual equipment (e.g., Power Point program, laptop, and projector)
- Ability to travel to presentation sites throughout the community
- Valid driver's license
- Automobile (or other vehicle) Insurance

**Time Commitment**

Volunteer schedules are flexible. The local SHIINE Regional Coordinator works with each volunteer to determine the number of hours the volunteer works each month, and to schedule assignments accordingly. Because of the training volunteers who make group presentations receive, they are asked to commit to a minimum of one year.

**Location**

Volunteers who make group presentations work at locations throughout the community.

**Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

**Benefits**

SHIINE volunteers receive training on the basics of Medicare and health care fraud, error, and abuse. Volunteers who make group presentations receive additional training on presentation skills. They have the satisfaction of participating in a national effort to educate and empower Medicare beneficiaries, their caregivers, and the general public about health care fraud, errors, and abuse. They receive recognition for their contributions to the program.

## **Volunteer Role Description: Counseling**

### **Purpose**

To empower and assist Medicare beneficiaries and their caregivers on Medicare and to prevent, detect and report health care fraud, error, and abuse by educating them in individual counseling sessions.

### **Suggested Activities**

SHIINE counselors discuss individual situations with beneficiaries and/or their caregivers and may review Medicare Summary Notices (MSN), billing statements, medical records, and other related financial and health documents. Counselors also educate beneficiaries about Medicare and how to prevent, detect, and report Medicare fraud, error, and abuse. Counselors listen carefully to the beneficiary's or caregiver's account of a situation and determine whether to:

- Share information with, or provide an explanation to, the beneficiary or caregiver;
- Send the beneficiary or caregiver to a SHIINE staff person or volunteer who handles complex issues; or
- Send the beneficiary to another more applicable organization for assistance (such as the Department of Human Services, Quality Improvement Organization, 1-800-Medicare, etc.).

When a SHIINE counselor decides to refer a beneficiary's case to SHIINE volunteer who handles complex issues, the counselor may receive and confidentially transmit the beneficiary's documents to that person with SHIINE's confidentiality and data security procedures in mind. Counselors provide their services in person or by telephone. Counseling may take place at locations such as senior centers, SHIINE or Medicare education events, and libraries, provided the conversation is conducted in privacy so the beneficiary's information cannot be viewed or overheard by unauthorized persons.

### **Limitations**

Counselors may receive and hold confidential beneficiary documents such as MSN and medical records only when referring a case to a staff person or volunteer that handles complex issues, unless the counselor is also designated as a complex issues volunteer.

### **Performance Measures and Standards**

This activity is measured by the number of counseling sessions and if available, any client or volunteer feedback. The Regional Coordinator has frequent contact with the volunteer to determine the number of counseling sessions or outreach events the volunteer staffs to help the Regional Coordinator fulfill their scope of work.

### **Qualifications**

- Good oral communication skills
- Active listening skills



- Ability and willingness to learn and share information related to Medicare and preventing, detecting, and reporting health care fraud, error, and abuse
- Ability to explain Medicare coverage and program integrity rules and procedures in terms that beneficiaries can understand
- Ability to work and get along well with others from diverse backgrounds
- Ability to request assistance as needed, for example, knowing when to refer complex issues and/or when the answer to a question is not known by the volunteer

### **Time Commitment**

Volunteer schedules are flexible. The local SHIINE Regional Coordinator works with each volunteer to determine the number of hours the volunteer works each month, and to schedule assignments accordingly. Because of the training SHIINE Counselors receive, they are asked to commit to a minimum of one year.

### **Location**

SHIINE volunteer counselors work at the offices of the local SHIINE host organization and at sites in their community where SHIINE activities such as presentations and information dissemination take place.

### **Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

### **Benefits**

SHIINE volunteers receive training on the basics of Medicare and health care fraud, error, and abuse. SHIINE counselors receive additional training on counseling skills, available local service providers and triage procedures. All SHIINE volunteers have the satisfaction of participating in a national effort to educate and empower Medicare beneficiaries, their caregivers, and the general public about Medicare and health care fraud, error, and abuse. They receive recognition for their contributions to the program.

## **Volunteer Role Description: Handling Complex Issues**

### **Purpose**

Volunteers who handle complex issues assist Medicare beneficiaries in reporting specific instances of suspected health care fraud, error and abuse. They help beneficiaries distinguish error from potential fraud or abuse and, as a result of their research, may act on a beneficiary's behalf to correct an error or refer suspected fraud and abuse to appropriate authorities. Because SHIINE works closely together in a unique relationship with Medicare and Medicare fraud and abuse investigators, we provide individual assistance and expedited referrals. Through this relationship, volunteers who handle complex issues respond to beneficiary concerns about health care fraud.

### **Suggested Activities**

Volunteers who handle complex issues respond to beneficiary and caregiver inquiries that involve complaints of fraud, error, and abuse by:

- Interviewing the beneficiary and/or caregiver in person or by telephone;
- Obtaining detailed information related to the report of fraud, error, or abuse;
- Gathering information and documentation about the case, such as Medicare Summary Notices (MSN), Explanation of Benefit (EOB) records, billing statements, other financial records that contain confidential personal identifying information, or legal documentation related to the complaint;
- Reviewing and evaluating information and documentation about the case with a SHIINE Regional Coordinator;
- Researching issues using SHIINE manuals and other Medicare program integrity resources;
- Providing documentation of suspected fraud, error, or abuse to the SHIINE Regional Office to be reported in the SIRS reporting system;
- Assessing the case for further investigation and/or referral; and
- Supporting and following up with beneficiaries as their reported issue moves through the investigation and resolution process.

### **Performance Measures and Standards**

This activity is measured by the number of complex issues the volunteer handles, the number of referrals, the dollar value of questionable health care charges, and the number of successful resolutions to beneficiary complaints of health care fraud, errors, and abuse.

### **Qualifications**

- Successful completion of the SHIINE Complex Issues Training
- Good oral communication skills

- Active listening skills
- Research and case management skills
- Ability and willingness to learn and share information related to Medicare and preventing, detecting, and reporting health care billing mistakes, fraud, and abuse
- Ability to work independently
- Ability to work and get along well with others from diverse backgrounds
- Computer literacy, including ability to use the Internet and online reporting programs
- Patience and persistence

### **Time Commitment**

Volunteer schedules are flexible. The local SHIINE Regional Coordinator works with each volunteer to determine the number of hours the volunteer works each month, and to schedule assignments accordingly. Because of the training SHIINE volunteers receive, they are asked to commit to a minimum of one year.

### **Location**

Volunteers who handle complex issues work at the offices of the local SHIINE offices or in their community at the discretion of the SHIINE.

### **Supervision**

SHIINE volunteers report to the local SHIINE Regional Coordinator and, when appropriate, to the statewide SHIINE Director.

### **Benefits**

SHIINE volunteers receive training on the basics of Medicare and health care fraud, error, and abuse. SHIINE Complex Issues Volunteers receive additional training on case development and management skills, and procedures for referring complaints for further investigation. All SHIINE volunteers have the satisfaction of participating in a national effort to educate and empower Medicare beneficiaries, their caregivers, and the general public about health care fraud, errors, and abuse. They receive recognition for their contributions to the program.

## Recruitment Planning Worksheet

The Recruitment Planning Worksheet can help you plan and track your volunteer recruitment activities. Start by setting recruitment goals. Decide on how many volunteers you plan to recruit and their geographic location(s). Then, decide which recruitment strategies will help you reach that goal.

The worksheet can also help you track and evaluate the outcomes of your volunteer recruitment efforts. First, record the outcomes of your recruitment-related activities. Then, use that information to evaluate the success of your recruitment strategies. This will help you determine which recruitment strategies make the best use of your valuable time and resources.

Look for the Recruitment Planning Worksheet on the regional coordinator resources page on our website.

## Recruitment and the Media

SHINE has a Regional Marketing Campaign Packet available with different recruitment tools Regional Coordinators can use to seek volunteer applicants in needed areas. This packet is available on the regional coordinator resources page on our website.

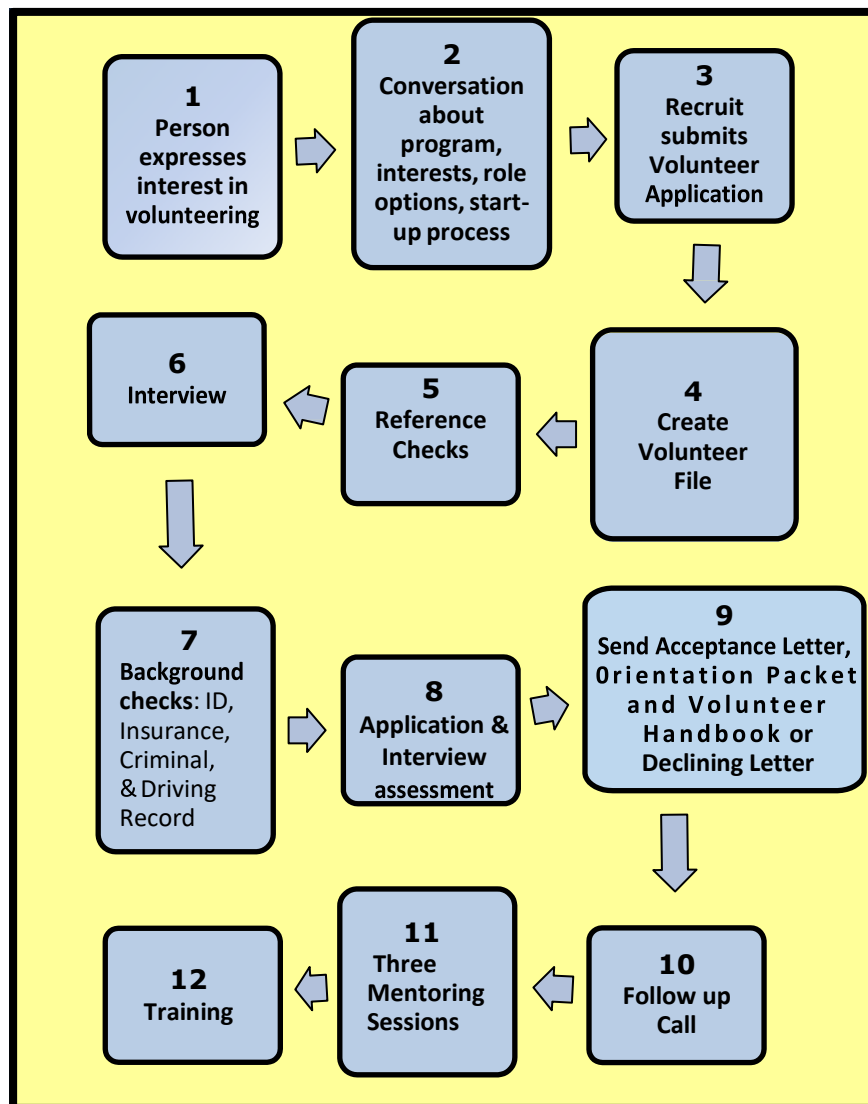
# Application, Screening and Placement

## Contents of the Application, Screening and Placement Section

- SHIINE Screening Process Flowchart
- Volunteer Application and Interview
- FAQ's about the SHIINE Application and Screening Process
- The Screening Matrix
- Screening Processes
- Criminal Record Disqualifications
- Accepting or Declining Volunteers
- SHIINE Volunteer Training
- Reporting SHIINE Activities and Training for Volunteers

## SHIINE Screening Process Flowchart

SMP's *Screening Policy Companion Guide*, which covers the screening process in detail, begins thus: "Effective screening is arguably the most important function in all of volunteer program management. Getting the right people in the right role can produce volunteer magic. Placing an insufficiently skilled applicant, or worse, an applicant whose intent is to cause harm, in a responsible volunteer role is a recipe for disaster, especially when the volunteer role involves a significant degree of trust."



1. An **Interested Volunteer Brochure** is available for distribution to give details on the SHIINE program and the requirements of a SHIINE volunteer.
2. The **initial conversation about SHIINE**, answering potential volunteer's questions and discussing the application process and time line is an important step in the pre-application process.
3. A **Volunteer Application Packet** is available and guides the volunteer recruit through the process of applying to be a SHIINE volunteer.
4. A **Volunteer File Checklist** is to be used to start a Volunteer Personnel File for each new applicant.
5. The Interview Packet is your guide to the **reference check** process. It provides forms for you to use during your reference check calls.
6. Continue to use the **Interview Packet** to help you conduct personal interviews with the potential volunteer. The interview portion of the packet includes a screening matrix and training matrix for you to use to answer interviewee questions. It also includes the volunteer agreement and all consent forms to be signed.
7. After the interview, you are to complete the appropriate **background checks and screenings** as recommended by the screening matrix and the volunteer's choice of role.
8. Once all checks are complete, the interview packet's **Post-Interview Assessment** portion helps you review all the information you have gathered to make a determination of applicant's placement as a volunteer.
9. **Acceptance Letters** and **Declining Letters** are available for your use. An acceptance letter must be accompanied by a SHIINE Volunteer Handbook and Orientation Packet.
10. During the interview, **Follow-Up Calls** or meetings are to be scheduled with volunteers to review the Volunteer Handbook and Orientation Packet information once those documents are received by the accepted volunteer.
11. Regional Coordinators or qualified volunteer mentors should plan at least 3 **mentoring sessions** with new volunteers to provide guidance and answer questions.
12. Along with the mentoring sessions, **volunteer training** begins with an online orientation video and SMP Foundations Training.

# Volunteer Application and Interview

## **Application**

Every potential volunteer must go through the application process. Each volunteer must submit a completed application to the Regional Coordinator. This application is available in hard copy for distribution or online at [www.SHIINE.net](http://www.SHIINE.net)

## **Interview**

The Interview Packet is a through guide to the application review, reference check and applicant screening process. It is extremely important, to be in compliance with the VRPM policies, that the process outlined in this packet is followed precisely.

## FAQ's About the SHIINE Application & Screening Process

The following are questions frequently asked by potential volunteers. These questions are also contained in the Volunteer Application Packet.

### **What are the steps in the application and screening process?**

At a minimum, the process requires a completed application form, an interview, three reference checks and insurance license check. Depending on the position, the screening process may also include a criminal records check, driving record check, and checks on volunteer or employment background. Some applicants may be asked to provide a physician's certification of their ability to perform certain tasks. Others may be asked to verify that they have the necessary credentials to take on certain tasks.

### **Why are there so many steps in the process?**

The SHIINE program takes seriously the safety of the program's beneficiaries and volunteers. Many of the people who use the program's services are in a vulnerable position due to illness, infirmity, and dependence. A thorough screening process enables SHIINE to maintain a safe and productive community service program with trustworthy and reliable volunteers who do not present a risk of harm to themselves and others.

### **Who reviews the volunteer's application form?**

The SHIINE Regional Coordinator and/or SHIINE Director will review the applications.

### **Why do we ask about conflicts of interest in the application form?**

The SHIINE program strives to provide objective and unbiased information and services involving Medicare and other health insurance programs. Objectivity is important to building trust with individuals and a reputation of trustworthiness in the community. To build a volunteer workforce that provides objective information and services, we ask applicants to declare if they have a financial, personal, or philosophical interest that may present a conflict with the SHIINE program's interest in maintaining its reputation for objectivity.



**Why do you check references and conduct a criminal records check (for some positions)?**

These types of checks are conducted for volunteer roles that we deem “positions of trust,” meaning they involve access to SHIINE clients or client personal information. We check at least three personal and/or work references because they provide relevant information for the Regional Coordinators who make the acceptance and placement decisions. We also check criminal records to ensure the safety of SHIINE clients. We conduct checks only with your consent.

**What will we do with the sensitive personal information that volunteer’s provide?**

We will respect and protect any information that a volunteer gives us in confidence. We will share the information only with people who have a need to know it. We destroy information such as Social Security and driver license numbers when we no longer need them in the screening process.

**How will we notify a volunteer when we have accepted them for placement as an SHIINE volunteer?**

We will send a letter that notifies the new volunteer of our decision. If we accept them for placement, the letter will also inform them about orientation and training program for new volunteers.

**How long does the screening process take?**

The length of time may vary depending on our ability to schedule an interview, the availability of references to take calls and answer questions, and the response time of authorities who conduct driving record checks and criminal record checks. The process could take several weeks. We will update the volunteer if the process takes longer than we expect.

**Once accepted how will our volunteers be trained?**

Training and orientation take place immediately following acceptance as a SHIINE volunteer. Along with their welcome letter, volunteers will be sent an Orientation Packet and Volunteer Handbook to begin learning more about the SHIINE program. These documents contain extensive information to help volunteers start a “self-study” of online systems and websites used frequently by SHIINE volunteers. It will also guide them to our online orientation video and trainings. Their progress will be monitored closely by you as the Regional Coordinator. Make volunteers aware that you are always available to answer questions as they get comfortable with their new position as a SHIINE volunteer.

## The Screening Matrix

		Screening Requirements				
		Comprehensive Background Check †	Proof of Driver's License	Driver's Record Check	Proof of Auto Insurance	Certificate of Ability
<b>Volunteer Roles</b>	<b>Distributing information</b>		X*	X*	X*	X***
	<b>Assisting with administration</b>	**				X***
	<b>Staffing exhibits</b>	X	X*	X*	X*	X***
	<b>Making group presentations</b>	X	X*	X*	X*	X***
	<b>Counseling</b>	X	X*	X*	X*	X***
	<b>Handling complex issues &amp; referrals</b>	X	X*	X*	X*	X***
	<b>Other Roles</b>	?	?	?	?	?

\* Where the role involves driving, these checks are required

\*\* Consider access to information, particularly through data entry and filing. If any access could be gained to confidential information about beneficiaries, other staff or volunteers, then the check is required

\*\*\* Consider physical requirements of carrying boxes of information, display materials, display units, setting up meeting facilities, etc., and where physical exertion is part of the role, a certificate of ability may be required, particularly where volunteer is elderly, frail, or has disabilities

† Where conducting a criminal records check requires a Social Security Number (SSN), it is collected, used for the criminal records check, then purged from the volunteer's file and the agency's records

? Depends on the nature of the work

# Screening Processes

Regional offices are responsible for making sure all appropriate screenings are conducted for each volunteer. Setting up and maintaining outside contracts for conducting screenings are the responsibility of each regional office.

## Criminal Record Disqualifications

Safety for vulnerable beneficiaries as well as for the SHIINE program is of the highest importance, and criminal records checks are an important step in the screening process of persons applying for positions of trust. What follows is guidance for interpreting the results when an applicant's criminal record check reveals that there is a history of offense(s). Convictions for some kinds of offenses will automatically disqualify applicants, but others may be regarded in the light of mitigating factors.

### Automatic Disqualification

The following are categories of offenses that will result in automatic disqualification from service as an SHIINE volunteer/partner:

#### Homicides

#### Other violent offenses

- |              |                |
|--------------|----------------|
| i. Assault   | iv. Kidnapping |
| ii. Battery  | v. Stalking    |
| iii. Robbery |                |

#### Sex-related offenses

- |         |                    |
|---------|--------------------|
| i. Rape | ii. Sexual assault |
|---------|--------------------|

#### Offenses against a dependent or vulnerable individual

- |   |  |
|---|--|
| i. Crime against a child                        | iii. Violation of a position of trust            |
| ii. Violation of Adoption and Safe Families Act | iv. Causing injury to a person 60 years or older |

#### Drug/alcohol-related offenses

- |   |                  |
|---|------------------|
| i. Sale, manufacture, or use of controlled substances | ii. Certain DUIs |
|---|------------------|

#### Fraud-related offenses

- |                                  |  |
|----------------------------------|--|
| i. Fraud                         | vi. Perjury                                |
| ii. Forgery                      | vii. Medicaid or insurance fraud           |
| iii. Extortion or blackmail      | viii. Larceny or felony banking violations |
| iv. Misappropriation of property | ix. Improper credentialing                 |
| v. Financial exploitation        |  |

## **Property crimes**

- |                                   |                           |
|-----------------------------------|---------------------------|
| i. Theft or burglary              | iv. Breaking and entering |
| ii. Tampering with public records | v. Arson                  |
| iii. Criminal mischief            |                           |

## **Mitigating Factors**

The existence of a criminal record is not always an automatic disqualifier from service as an SHIINE volunteer/partner. Offenses that are not on the Automatic Disqualification list, above, may have other factors taken into account. The nature of the offense, when the offense occurred and other pertinent information are considered in combination with all other information gathered in the screening process. The decision of whether to accept or reject a person seeking to be an SHIINE volunteer/partner is based on an overall assessment by authorized SHIINE staff of the qualifications and appropriateness of the volunteer/partner for the role in question. As you weigh whether or not a particular criminal offense should disqualify an individual from serving as an SHIINE volunteer, consider the following factors:

- Group 1 (factors related to the offense)
  - Whether crime is a misdemeanor or a felony
  - The degree of the offense (first, second or third degree felony)
  - The degree of participation in the offense
  - Age and ability of the victim against whom the crime was committed
- Group 2 (factors related to the applicant)
  - Extent and nature of applicant's past criminal activity (quantity, variety)
  - Age of applicant when crime was committed
  - Amount of time elapsed since last criminal activity
  - Whether any criminal actions are now pending
  - Conduct and work activity of the applicant before and after criminal activity
  - Applicant's current standard of living versus when crime was committed
- Group 3 (factors related to the volunteer position)
  - Whether offenses were disclosed on application
  - Degree of unsupervised contact available via volunteer role
  - Opportunity to place volunteer in alternate role
  - Relationship between the crime and the proposed volunteer role

# Accepting or Declining a Volunteer

## Communication to Applicant

SHIINE requires that all applicants receive notification in writing whether they have been accepted into volunteer service or not.

- For applicants accepted into volunteer service: Send applicant a welcome packet that consists of an Acceptance Letter, Orientation Packet and Volunteer Handbook. Make sure you have scheduled a follow-up call and planned 3 mentoring sessions with the new volunteer.
- For applicants not accepted into volunteer service: Use the appropriate Declining an Applicant Letter for volunteers not accepted into volunteer service.

## Documentation Retention

SHIINE has a process that clearly indicates what documentation is required, for how long it is retained, and when it is to be destroyed. Please see volunteer personnel file checklist.

Documentation is retained as follows:

- For applicants accepted into volunteer service: Screening documentation becomes part of the volunteer's personnel file and is retained for a minimum of seven years after the volunteer's involvement with SHIINE terminates.
- For applicants not accepted into volunteer service: Screening documentation is retained for a minimum of six months after the volunteer has been notified of the non-acceptance of their offer of involvement.

# SHIINE Volunteer Training

## Orientation to SHIINE

Orientation and training are essential to developing the knowledge and skills that SHIINE volunteers need to serve the people of their communities effectively. Orientation takes place shortly after SHIINE accepts a volunteer into service. Through the orientation video, mentoring sessions, and the Orientation Packet it is SHIINE's aim to explain, among other topics, the:

- Purpose and values of SHIINE
- Nature and operation of the SHIINE program
- Purpose, duties, requirements, and basic understanding of the role the volunteer is accepting
- Initial training guidance
- Methods to promote the SHIINE volunteer's presence in their community

## Training Programs

SHIINE has established minimum training requirements and programs for the various volunteer roles. Volunteers must complete the training required for their roles and demonstrate through testing they have attained minimum levels of comprehension and skill, before Regional Coordinators give them work assignments.

		Training						
		Orientation	Medicare Basics & Data System Training	Foundations	Group Education	Counselor	Complex Issues & Referrals	
Volunteer Role	Distributing information	X						
	Assisting with administration	X						
	Staffing exhibits	X	X	X	X*	X**		X
	Making group presentations	X	X	X	X	X**		X
	Counseling	X	X	X		X		X
	Handling complex issues	X	X	X		X	X	X
	Other Roles	X	X	TBD	TBD	TBD	TBD	X

\* For the staffing exhibits role, Chapter 1 of the Group Education Training Manual and the Appendices are recommended.

\*\* For the staffing exhibits and making group presentations roles, Chapter 1 of the Counselor Training Manual and the Appendices are recommended.

### **Medicare Basics & Data System Training**

This training provides volunteers with a comprehensive overview of the SHIINE program, Medicare, and other insurance information. This training takes place over two days and includes training to assist beneficiaries in tracking and reporting activity related to counseling, outreach, and education. This in-classroom training is offered each spring.

### **Foundations Training**

This online training provides volunteers with a foundation of knowledge in three main content areas including the SMP program, Medicare basics, and Medicare fraud and abuse. Participants should allow 4 to 6 hours to complete the entire online course.

### **Group Education Training**

This training provides presenters of group education sessions with the necessary skills and resources to deliver the SHIINE message consistently and effectively to Medicare beneficiaries, caregivers and other interested groups.

### **Counselor Training**

This training provides SHIINE counselors with the necessary skills and resources to handle one-on-one counseling sessions and simple inquiries consistently and effectively.

### **Complex Issues & Referrals Training**

This training provides volunteers with the necessary skills and resources to handle complex issues and to know when and where a referral should be made.

### **Annual SHIINE Recertification Training**

This annual recertification ensures volunteers are up to date on Medicare, the SHIINE program and data reporting changes. This in-classroom training is offered each fall.

# Reporting SHIINE Activities and Training for Volunteers

Position	What to Report	How/Where to Report	When
SHIINE Staff & Volunteers	<u>PAM activities</u> : -Group presentations -Distributing materials -Community exhibits and events	STARS— <i>Public Activity and Media (PAM)</i> report	Immediately- no later than the end of the following month
	<u>Qualified counseling</u> - one-on-one activity with beneficiaries or their representatives; Always include Fraud Education information	STARS- <i>Client Contact Form (CC)</i>  Always “ <b>V</b> ” Fraud & Abuse under “Medicare (Parts A & B)”	

In addition to the formal training programs for the various SHIINE volunteer roles, volunteers may receive on-the-job training through mentoring and feedback from the Regional Coordinator or a veteran volunteer. SHIINE may also require attendance at periodic continuing education training programs to provide informational updates and/or additional skills training. SHIINE encourages volunteers to build their skills through training and serving as a volunteer.

## Volunteer Management: Supervision, Problem-Solving, Recognition

A key to success in SHIINE volunteer program management is that SHIINE Regional Coordinators will provide the support and guidance the volunteers need to successfully achieve the program’s educational and assistance goals. A constructive and success-oriented volunteer support and guidance system (also called performance management) is in place to guide SHIINE Regional Coordinators as they work to encourage productive and satisfying volunteer involvement in the SHIINE program.

The importance of the work SHIINE volunteers do demands a system of performance management. If their work were of little consequence, it would not matter if it were done well.

### Contents of the Volunteer Management Section

- Volunteer Personnel File and Checklist
- Volunteer Recognition/Contact Log



- Annual Review Packet and Procedure
- SHIINE Screening Schedule
- Volunteer Complaint Procedure
- Volunteer Corrective Action Guidance
- Guidance for Volunteer Exit

## Volunteer Personnel File and Checklist

Prior to a volunteer interview, create a Volunteer Personnel File. Attach the File Checklist and include the volunteer's completed application and Recognition/Contact Log. Any documents related to the volunteer must be kept in their file. Volunteers may review the contents of their file at any time.

## Volunteer Recognition/Contact Log

Throughout the volunteer's time with the SHIINE program interactions and recognition should be documented using the Volunteer Recognition/Contact Log.

### Tips for Volunteer Recognition

1. Send a hand-written thank you note.
2. Mention them by name in a newsletter or other publication.
3. Seek their opinions and feedback.
4. Cite their work as an example for others.
5. Offer them extra responsibility, like helping in the interview process or by mentoring a new volunteer.
6. Serve refreshments when they gather for a meeting or come to the office to visit.
7. Call to ask, "How's it going?"
8. Invite them to work with you on a special project.
9. Take them to lunch.
10. Ask them to represent your program at a meeting or on an advisory board.
11. Ask your organization's director to send a hand-written thank you note.
12. Find training and skill building opportunities for them.
13. Nominate them for local community service awards.
14. Nominate them for state or national recognition, if opportunities arise.
15. Ask a volunteer to participate with you in media interviews and/or photo opportunities.
16. Celebrate birthdays.
17. Give certificates of appreciation.
18. Use their quotes in brochures and other promotional materials.
19. Celebrate their anniversary date or years of service with the SHIINE program.

20. Give them SHIINE promotional items, like bags and coffee mugs.
21. Send a get well or sympathy card as appropriate.
22. Hold a volunteer appreciation day event, like a lunch or picnic.

## Volunteer Annual Review Packet and Procedure

**What:** Volunteers participate in periodic formal evaluation of their work and the SHIINE program. This is in addition to day-to-day supervision and coaching, and should include no bad surprises. Feedback on volunteer performance is non-threatening, constructive, and supportive. It is an opportunity for mutual exchange, feedback, formal acknowledgement of, and appreciation for, volunteer contributions. It is also an opportunity to update personnel files and plan ongoing training.

***Review the past, analyze the present, plan the future.***

**Who:** SHIINE Regional Coordinator and volunteer

**When:** Six months after volunteer work started, if Regional Coordinator feels it is necessary—after qualifying through training—then annually thereafter, never exceeding an 18 month gap between reviews.

**How:**

1. Review SMP Volunteer Program Management Manual, pp. 66-69
2. Schedule the review with the volunteer.
3. Prepare by reviewing the volunteers' achievements and/or areas for improvement. Gather volunteer's files—Personnel File, time sheets and activity reports—any documentation of volunteer's performance or behavior since last evaluation.
4. At the review:
  - Use the Annual Review Packet as an outline to guide the discussion. Praise the volunteer's accomplishments and challenge him/her to expand his/her potential. Encourage the volunteer to contribute his/her views and insights.
  - In addition, be sure to:
    - Update paperwork –emergency contact information, valid driver's license and auto insurance if relevant to their position
    - Discuss any conflicts of interest that may have arisen
    - Plan any training and/or screening reconfirmation for current position—or up-screening + training for a new position

- Agree on a performance standard for the next year, such as an appropriate goal for number of presentations
  - Discuss how the program can better support the volunteers.
- If volunteer agrees to continue service, sign Volunteer Agreement, and other appropriate screening consent forms and set tentative date for next evaluation.

## SHIINE Screening Schedule

SHIINE has a policy on how often various record checks (e.g., criminal records checks, driver's records check, medical certification of ability to perform duties, etc.) will be repeated.

- Driver's record is re-checked every two years for volunteers with roles that include driving as part of their service (Automobile insurance coverage and valid driver's license are verified during volunteer's annual review.)
- Criminal Record and Insurance License status are re-checked every two years for year-round volunteers or for returning seasonal volunteers who have had less than an 18 months' break in service. Seasonal volunteers who have a break in service of 18 months or more will be required to resubmit an application.

## Volunteer Complaint Procedure

A Volunteer Complaint Form is available to use to report any suspected misconduct, breaches in security, or misrepresentation of the SHIINE program to the Regional Coordinator or the statewide SHIINE Director. The form contains general information and procedure to follow when handling complaints filed by a volunteer or those outside the SHIINE program. You can find the Volunteer Complaint Form, which includes protocol, on the regional coordinator resources page on our website.

Use this timeline as a guide for appropriately responding and handling a complaint.

Day 1	3 working days	1 week	2 weeks
Submission of complaint to SHIINE Regional Coordinator	Communication to complainant and volunteer	Investigation	Determination, corrective action, notification, documentation

Document the outcome of the complaint using the Outcome of Complaint Form and save all records in volunteer's file.

## Volunteer Corrective Action Protocol

The SHIINE volunteer management system calls for a range of supervisory strategies that are progressive in nature. The following sequence indicates a graduated approach, from positive attention to formal correction of volunteer behaviors. When corrective actions are called for, SHIINE Regional Coordinators should work with their agency supervisors in developing corrective action plans and, when necessary, carrying out a dismissal, which is an action of last resort. For more description of performance-management processes, see the SMP Volunteer Program Management Manual, Chapter 7.

1. SHIINE Regional Coordinators should practice systematic, success-oriented supervision:
  - Maintain regular contact with volunteers
  - Regularly monitor the actions and performance of volunteers
  - Provide on-going reinforcement to volunteers:
  - Compliment, reward, enable, coach, support
  - Develop plans for improving volunteer performance and monitor progress on these plans
  - Deal with behaviors requiring attention as they happen rather than presenting saved-up criticisms at the scheduled Annual Review

2. Corrective action is in proportion to the seriousness of the performance issue. Follow a continuum when corrective action is required:

- Informal process action options (no set order of steps):
  - Retrain, redirect, reassign, mentor, coach, enhance monitoring, support, enable; and reward any success
- Performance Improvement Plan (PIP) Chart (located in Volunteer Annual Review Packet and on the regional coordinator resources page on our website):
  - Conduct a full annual review using the packet paying special attention to the PIP Chart on page 4
  - Identify need, meet to discuss, create written plan, implement plan
  - Schedule follow-up with volunteer and monitor progress
- Progressive discipline sequence possibilities:
  - Verbal warning, written warning, suspension
  - Dismissal
    - A list of possible and immediate grounds for dismissal is located in the Volunteer Handbook under the section Volunteer Separation.
    - Volunteers have the right to appeal a dismissal

3. A volunteer recognition/contact log should be kept and annual reviews completed for each volunteer to indicate SHINE Regional Coordinator activity on all of the above items. Additional records should be included in a volunteer's file as necessary.

# Guidance for Volunteer Exit

When a volunteer exits the SHIINE program the Exit Checklist needs to be completed. The Exit Checklist gives through guidance regardless if a volunteer is leaving the SHIINE program of their own will or if they have been dismissed because of misconduct.

## Forced Departure

Dismissal of a volunteer is often a sign that the volunteer management system has failed. This failure might have arisen in recruitment of an unsuitable volunteer, in a failure to adequately interview and screen a prospective volunteer, in placing a volunteer in an incompatible role, in insufficient training as to the knowledge and behaviors expected of volunteers, or in providing insufficient supervision. It might also indicate failures on the part of the volunteer. In any case, it is a situation that you should approach carefully, with a particular aim of learning from the experience so that it does not happen again. Following dismissal of a volunteer, SHIINE staff should conduct a de-briefing to discuss what might be changed or improved in the SHIINE volunteer management system to prevent similar problems from occurring in the future.

1. Dismissal is an action of last resort except in cases where the volunteer has exhibited the totally unacceptable behaviors outlined in the Volunteer Handbook under Volunteer Separation.
2. Some incidents leading to dismissal result from observations of volunteers engaging in a significant breach of SHIINE rules of volunteer behavior and performance. Consider the following protocols when investigating and reacting to these reported incidents:
  - Where there is persistent rumor regarding the performance or behavior of a volunteer:
    - Handle the situation as discretely as possible, involving only those directly connected to the reported incident or directly charged with supervising the volunteer.
    - Take no formal action until you have investigated the rumor and determined if it has any substance.
    - Gather as much data as possible. This would include determining the source of the rumor and evaluating the source's credibility. It would also include conducting a check of the volunteer's history and performance. It might include conversations with other persons who have pertinent information regarding the reported incident or conduct. The intent of this investigation is to determine whether the conduct in question actually occurred. Do not expect to always have definitive evidence. Be prepared to make a determination based on what is most likely given any pattern that emerges from the evidence.
    - Keep a written, dated, confidential record of all findings.
    - Consider discussing the reported conduct with the volunteer. This will depend on the nature of the reported conduct. In cases of extreme suspected misconduct you may

choose not to discuss the situation with the volunteer until you have gathered all available data and evidence. If such a discussion is held, have another SHIINE staff representative present and invite the volunteer to bring a representative to the meeting.

- If no derogatory facts are discovered, make it clear to the volunteer that SHIINE does not listen to mere gossip or rumor. Give the volunteer who has been accused assurance that the SHIINE values his or her continued service. Inform those who were the source of the rumor that it has been found baseless and that continuing to spread the rumor violates the SHIINE rules of volunteer conduct.
- If you determine that the rumors of misconduct are true or if there is a direct accusation regarding the conduct of a volunteer, follow the same pattern as outlined above, but:
  - Discuss the situation with the person(s) raising the accusation or providing credible testimony as to the truth of rumored misconduct and compile a full report on the nature, timing and all other aspects of the matter under consideration. Ask them to confirm your record of the substance of their accusations or testimony by signing a statement of the facts you have gathered from them.
  - Discuss the situation with the volunteer, providing her or him with all the facts reported to you. Ask for their view of the situation, the accuracy of the report, and any other facts they believe are relevant. Strongly consider having another SHIINE representative present if the matter under discussion is one of extreme misconduct and invite the volunteer to have a representative present. You do not need to do this if you believe the situation can be corrected by normal supervisory intervention.
  - If the accusation involves serious or extreme misconduct, consider suspending the volunteer from service pending the results of your investigation.
  - If the facts of the situation or the volunteer's direct admission show the volunteer has failed to meet required standards of behavior in this instance but you believe that the volunteer is capable of complying with required standards by changing the behavior(s) in question, then deal with the situation as part of the normal supervisory feedback process, including development of an agreed-upon plan for corrective action. Use the Performance Improvement Plan (PIP) Chart in the Volunteer Annual Review Packet.
  - If the facts of the situation or the volunteer's direct admission show that the volunteer has failed to meet required standards of behavior and you believe that this failure disqualifies the person from continuing as an SHIINE volunteer, then hold a conference with the volunteer to report your conclusions. Offer the option of voluntary resignation. Before holding this conference, consult with and inform other SHIINE staff who need to be involved in this decision.
  - If the volunteer does not resign, then conduct a formal dismissal session to inform the volunteer of the termination of her or his volunteer status. Inform the volunteer of any available appeal procedures. Request the prompt return of SHIINE materials

such as nametags, keys, equipment or information. Use the Exit Checklist.

- Follow-up this session with a written Letter of Dismissal that is sent to the volunteer by registered mail. Retain a copy of the letter for the volunteer's personnel file. Send a Notification to Report a Volunteer's Departure/Dismissal to all affected parties, including volunteer host organization staff and beneficiaries with whom the volunteer worked directly.
  - If questions are raised by volunteers, beneficiaries or other parties regarding this action, answer courteously but without revealing any of the specifics of the situation other than that the volunteer is no longer serving with SHIINE. Do not disclose any confidential information and do not apologize for any action taken to uphold the policies and practices of SHIINE.
3. In some cases dismissal is the result of a pattern of continued under-performance rather than a single significant incident. These might include:
- Unacceptable work performance, such as chronic problems in reliability, punctuality, or accurate transmission of information
  - Failure to follow supervisory directions or to comply with SHIINE policies and procedures
  - Inappropriate conduct toward beneficiaries, co-workers, or others

In these cases, consider the following actions, which would normally be carried out by the supervisor of the volunteer in consultation with the SHIINE Regional Coordinator:

- Record information about any concerns or transgressions and about actions at each stage discussed below.
- Seek resolution as early as possible following any problem behavior. Discuss the situation with the volunteer by asking for an explanation of the lapse in proper behavior. Reinforce the need for compliance. This conversation can be conducted as an informal discussion and will often simply serve to remind the volunteer about expectations to comply with applicable rules and procedures. Accompany this with a verbal warning to the volunteer of the consequences of failure to comply. At this point you might also consider changes in the role performed by the volunteer or other minor changes in requirements.
- Upon re-occurrence of the unacceptable behavior, make an appointment to speak to the volunteer and develop a written plan for corrective action. Use the Performance Improvement Plan (PIP) Chart in the Volunteer Annual Review Packet. If the volunteer does not agree to the plan, then move to dismiss the volunteer for failure to follow supervisory instructions. Accompany this action with a written warning to the volunteer of failure to correct their behavior as indicated in the corrective action plan.
- If the volunteer initially agrees to the plan for corrective action but fails to comply, follow up with a written warning. If the volunteer does comply, then praise them for their progress. If the volunteer has partially complied, then praise them for what they have



corrected and emphasize the need to comply with the other expectations. Respond to substantial non-compliance with a final warning indicating that failure to meet expectations will result in dismissal. Indicate a date for expected compliance in the warning.

- If the volunteer fails to meet performance expectations following the final warning then convene a meeting to inform them that they face dismissal. Offer the option of resigning voluntarily and with dignity. If the person refuses, then either suspend the volunteer pending final dismissal or inform them of their release from SHIINE service. Inform them of any available appeal procedures. Request the prompt return of SHIINE materials such as nametags, keys, equipment, or information.
- Notify all affected parties with a Notification to Report a Volunteer's Departure/Dismissal and follow-up with a written Letter of Dismissal to the volunteer.
- If questions are raised by volunteers, beneficiaries or other parties regarding this action, answer courteously but without revealing any of the specifics of the situation other than that the volunteer is no longer serving with the SHIINE. Do not disclose any confidential information and do not apologize for any action taken to uphold the policies and practices of the SHIINE.

The steps for the release process are summarized in the Exit Checklist.

# Risk Management and Information Technology Safety

Safety is paramount in the SHIINE volunteer program. Our commitment to safety includes providing safe working environments for volunteers, protecting the security of clients' confidential information, and reducing liability for the program. The SHIINE Regional Coordinator provides training to promote safety awareness and protect sensitive information.

## **Contents of Risk Management/IT Section**

- Incident Response Protocol
- Emergency Contact Procedures
- Liability Protection for Volunteers
- SHIINE Protocol on Home Visit Counseling
- SHIINE Volunteer Safety Training
- Information Management Protocol
- Internet Protocol
- Security Breach Procedure
- SHIINE Reporting and Referral Software Use

# Incident Response Protocol

This document's purpose is to provide SHIINE volunteers, Regional Coordinators and partner organizations with guidance on reporting and responding to incidents such as injuries and accidents, as well as serious judgment errors or other behavior missteps. The section below on volunteer reporting is also attached to the end of the Volunteer Incident Report Form. This protocol provides guidance for other actions for staff to take.

## Volunteer Reporting

1. Volunteers are to report all injuries and accidents in which the volunteers are involved or that they witness, such as injuries to participants at events or counseling sessions.
2. Volunteers should notify their Regional Coordinator by telephone as quickly as possible when response to the incident involves agencies such as the police, emergency response units, paramedics, or fire department.
  - Volunteers should complete an Incident Report Form within two working days to record relevant information for incidents that meet any of the following criteria:
  - The response to the incident involves agencies such as the police, emergency response units, paramedics, or fire department.
  - The volunteer or program participant receives medical care, or is advised by a staff person affiliated with the SHIINE program to seek medical care. The incident involves, or is likely to involve, an insurance claim.
  - The incident involves an allegation or strong suspicion of physical, sexual, or financial abuse.
  - The incident involves the loss or theft of beneficiary or agency property.
  - The incident involves a serious error in judgment or misstep including offensive or inappropriate remarks and behavior.
  - The incident involves the violation of a state or federal law.

The Incident Report Form collects information on time and location of the incident, a description of the incident and the parties involved, and the extent of the volunteer's involvement in the incident. The volunteer should submit the completed Volunteer Incident Report Form to his/her Regional Coordinator as soon as possible.

## **SHIINE Staff Reporting**

The SHIINE Regional Coordinator handles response to the incident, based upon what immediate steps were or were not already taken at the scene of the incident. Take one or more of the following immediate actions as needed:

- Call 911 in response to medical emergencies
- Contact police in response to automobile accidents and criminal activity
- Notify relevant authorities (e.g., police, public health, elder abuse, etc.)
- Photograph or otherwise document the incident site
- Notify staff at the volunteer worksite

Take one or more of these follow-up steps as soon as possible, depending upon the type of incident:

- Support and reassure the volunteers; see that they complete the Incident Report Form
- Contact affected parties or witnesses
- Notify senior management in your agency
- Notify the SHIINE state office
- Notify an insurance carrier
- Take other steps as needed to resolve the incident
- File completed Incident Report Form with Volunteer's record

The Incident Report Form may be used also by staff or other partners. The following matrix is a quick reference guide to notifications or other procedures.

<b>Incident Response Matrix</b>				
<b>Incident</b>	<b>Notify SHIINE Regional Coordinator &amp; Complete Volunteer Incident Report Form</b>	<b>Call 911/ Notify Law Enforcement</b>	<b>Notify Volunteer's Emergency Contact</b>	<b>Other Calls, Notifications or Procedures</b>
Injury to the volunteer, client, or program participant	x	If applicable	x	Possibly medical
Accidents, including motor vehicle accidents	x	x	x	Possibly medical
Property damage, including damage to equipment	x	If applicable		
Security breach (lost or stolen consumer information)	x	If applicable		Attorney General (Follow "Security Breach Procedure")
Lost or stolen possessions, files, or equipment	x	If applicable		
Abuse of a beneficiary or other individual	x	If applicable		Department of Human Services, Division of Long Term Services and Supports
Harassment and/or offensive remarks	x			
Error in judgment	x			
Crisis or emergency	x	If applicable	x	
Outside complaint against a volunteer	x			Volunteer (Follow "Handling External Complaints")

## Emergency Contact Procedures

SHIINE has emergency contact information on all of its volunteers and a procedure that enables volunteers to communicate with SHIINE supervisory personnel at any time volunteers may be on duty. Response to emergency communications takes place without delay.

- For SHIINE Regional Coordinator to contact volunteers:
  - Create and maintain an accurate list of all volunteers and their emergency contacts.
  - Remind volunteers to notify you as quickly as possible of any changes to this information.
  - Ensure that any designated SHIINE staff know and have access to the list in the event that a contact might need to be made in the Regional Coordinator's absence.
  - Use the Annual Review as an opportunity to check the accuracy of contact information you have on file for each volunteer.
- For volunteers to contact SHIINE Regional Coordinator:
  - Establish a way for volunteers to contact SHIINE staff at all times when volunteers may be on duty.
  - Notify current volunteers of any emergency back-up system and ensure they know who to contact, for what, and when.

## Liability Protection for Volunteers

Fear of incurring personal liability for volunteer service isn't uncommon among the estimated 90 million Americans who perform volunteer service each year. A volunteer's actions may cause physical injury to another, or damage to another's property. Volunteers are not covered as "named insureds" under a SHIINE Regional Office's liability insurance.

There are two major categories of protection that volunteers can turn to in the (infrequent) event that they might incur personal liability from negligence in their service:

1. South Dakota Code §20-9-4.1. (2013) provides immunity from civil liability for volunteers if their conduct is within the course and scope of their duties. This immunity does not cover conduct that involves fraud or intentional misconduct.

For the complete text, see

[http://legis.sd.gov/Statutes/Codified\\_Laws/DisplayStatute.aspx?Type=Statute&Statute=20-9-4.1](http://legis.sd.gov/Statutes/Codified_Laws/DisplayStatute.aspx?Type=Statute&Statute=20-9-4.1)

2. Insurance: Volunteers are not required to carry special coverage to cover them for their SHIINE service; they are not permitted to transport clients in their personal vehicles. The

volunteers' personal auto policy will provide coverage for possible damage to their own vehicles while the volunteers are distributing materials or otherwise driving for the program. However, volunteers are advised to notify their own automobile insurance provider about their SHIINE driving activities to ensure coverage is in place and provides the protection they want.

Volunteers may already have some liability protection under existing homeowners' or renters' policies. Some may wish to pursue additional personal liability or auto insurance to include covering community volunteer work; they should consult their insurance agent or company.

To read more about excess coverage, see [www.nonprofitrisk.org](http://www.nonprofitrisk.org) and view the articles regarding insurance. One volunteer insurance resource describes four types of insurance that volunteers may consider in addition to the standard or minimum auto coverage that they carry for their personal driving:

- Accident Insurance
- Volunteer Liability
- Excess Auto Liability
- Volunteer/Employee Dishonesty

# SHIINE Protocol on Home Visit Counseling

Home visits by SHIINE volunteers and staff to a beneficiary's residence are prohibited.

An exception to this policy is made only when the beneficiary and/or his or her family is legitimately unable to travel to SHIINE premises and arrangements for an alternate location cannot be made, and only with advance written permission of the SHIINE Regional Coordinator and/or his/her designee.

The protocol below is strictly followed:

- Two volunteers make the home visit together.
- Notice of the visit is provided to at least one other "on-alert" SHIINE staff along with travel start and projected return times, beneficiary name, address, and phone number.
- At least one of the two visitors has a charged and working cell phone.
- The availability of cell phone coverage is checked before entering the home; where cell phone coverage does not exist, the visit is canceled.
- Volunteers who do not feel comfortable as they approach the home or who become uncomfortable or threatened during a visit terminate the visit in a non-confrontational manner and report the event to their Regional Coordinator as soon as possible.
- Visiting volunteers notify the on-alert staff immediately upon their return from the visit.
- If return of the volunteers is overdue by more 15 minutes, the on-alert staff attempts to contact the volunteer by cell phone as prearranged; two attempts to reach the volunteer are made at five-minute intervals.
- Failure to reach the visiting volunteers after two attempts triggers an immediate notification to the SHIINE Regional Coordinator or statewide SHIINE Director who implements further action as required, including, for example, calling the beneficiary's home, notification of authorities, and 911 contact.

Definition: Information sessions delivered in public settings in senior housing complexes, nursing homes, etc., do not constitute a "home visit" for the purposes of this policy. In these kinds of apartment or congregate housing settings, "home visit" refers to contact inside a person's private apartment, residence, or room.



# SHIINE Volunteer Safety Training

To safeguard both SHIINE volunteers and beneficiaries, SHIINE volunteers must be made aware of safety hazards they might encounter.

These policies do not require extensive training for SHIINE volunteers but do require that the SHIINE program:

- Make volunteers aware of the need to identify and address safety issues
- Educate volunteers about risks to look for in common SHIINE situations
- Inform volunteers of any specific safety hazards of which the SHIINE is aware
- Inform volunteers of SHIINE procedures for dealing with identified safety issues

Such training can be provided at the SHIINE Annual Recertification Training and during the Annual Review with the volunteer to raise awareness regarding volunteer safety. The Annual Review Packet includes a Volunteer Safety Evaluation as a tool for the Regional Coordinator to thoroughly discuss the safety at the site locations visited by the volunteer.

## Potential Safety Hazards

- Absence of emergency contact information
- Absence of fire alarms
- Absence of fire extinguishers
- Absence of sprinkler system
- Blocked exits
- Dangerous roadway conditions
- Dangerous weather conditions
- Inadequate lighting
- No identification of exits
- Slippery floors and walkways
- Tripping hazards, such as power cords and rugs
- Unlighted parking areas

- Unmaintained automobile
- Unsafe equipment
- Unsafe stairways, handrails

### **Recommended Safety Actions**

- Carry a list of helpful contact numbers for emergencies (which SHIINE can provide the volunteer), including fire departments, local EMT units, emergency SHIINE contact number, etc. The first response of the SHIINE volunteer should be to look for additional help in dealing with any serious situation.
- Examine venues for possible hazards and talk with the venue manager if there are any major issues or questions.
- Inform your supervisor of any safety issues you encounter so SHIINE can monitor possible sites or venues that need correction.
- Remain alert to potential health issues affecting beneficiaries and be prepared to find medical help quickly in case of emergency.
- Use good judgment at all times, focusing on protecting yourself and Medicare beneficiaries. When in doubt, talk with your Regional Coordinator or statewide SHIINE Director.

# Information Management Protocol

## Protect Personal Information

Paper Documents	Phone/Mobile Devices	Computer	In-person in Public Areas
<ol style="list-style-type: none"> <li>1. Send by postal mail or FAX if documents contain protected or sensitive personal information*</li> <li>2. While in your possession documents should be stored so access is unavailable to anyone else</li> <li>3. Documents that are no longer needed should be cross-cut shredded or given to SHIINE Regional Coordinator for secure destruction</li> </ol>	<ol style="list-style-type: none"> <li>1. Texting – Do not send or store personal information* other than name, address, phone &amp; e-mail addresses</li> <li>2. Leaving voice mail – Do not record personal information other than name, address, phone &amp; e-mail</li> </ol>	<ol style="list-style-type: none"> <li>1. E-mail – Do not send personal information* other than name, address, phone &amp; e-mail</li> <li>2. Public wireless access – Do not use unsecured (no password required) wireless networks</li> <li>3. Documents stored on your computer – Your computer must be password protected &amp; locked or logged off if unattended</li> <li>4. <i>Better:</i> Volunteers should not store documents with protected or sensitive personal information on their personal computer</li> </ol>	<ol style="list-style-type: none"> <li>1. Position yourself to prevent others from hearing or viewing sensitive information – including phone conversations</li> <li>2. <i>Better:</i> Help client make an appointment that will take place in a private setting</li> </ol>

\*“Personal information” = First name or first initial and last name + any of these: Social Security number, Medicare number, driver’s license number, account/credit card number. Personal information does not include publicly available information that is lawfully made available to the general public from government records or widely distributed media.

Access to confidential beneficiary information shall be available only to SHIINE volunteers who

- have been appropriately screened for a Position of Trust
- have read and signed the SHIINE Volunteer Agreement
- have been adequately trained

Volunteers are expected to use SHIINE computers responsibly and productively.

- Passwords to all devices and sites must meet the minimum requirements and shall be updated regularly.
  - Volunteers may not share or store passwords in an unsafe location.
- Portable SHIINE computers and printers that are available for doing work away from the worksite must be checked out from the SHIINE Regional Coordinator, with details of where the equipment is to be used and the expected date and/or time of its return.

All reasonable precautions shall be taken to protect confidential beneficiary information.

- Volunteers will lock their computer screen or store the files securely before walking away from the work station.
- All confidential beneficiary information that is to be stored electronically shall be protected by security systems that require passwords. Hard copy files shall be kept in locked filing cabinets or returned to the client.
- Volunteers should minimize the amount of personal information collected to that which is necessary to accomplish SHIINE's mission. Protected information shall be returned to the client or shredded and not stored.
- Confidential client information may not be transmitted by email, it should be faxed or mailed to the appropriate recipient.
- Information that is sent by fax must be accompanied by a request to confirm receipt.
- Beneficiary information must be retrieved immediately from fax and copier machines.
- In the event of disposal of a computer, scanner, printer, fax, or other device, all data storage must be securely deleted.
- Volunteers who use their own computer or device and/or conduct SHIINE work from home must follow the same procedures safeguarding protected client information as on-site computer use. This includes the use of password-protected logins and the secure deletion of protected information upon disposal of the device. Personal or home computers that volunteers use for SHIINE service must install current virus/malware protection and perform regular updates.

# Internet Protocol

Volunteers are expected to use the internet responsibly and productively.

Emails sent as part of SHIINE work may not contain content that is deemed to be offensive; this includes, but is not restricted to, content that could be deemed vulgar or harassing, discriminatory or threatening.

Confidential client information may not be transmitted by email. More secure transmission may be achieved by

- other methods such as fax machines or postal mail
- obscuring or deleting identifying information (redaction)

Use of wireless devices for Internet access should be limited to secure networks.

Public “wi-fi” hotspot access should not be considered secure for beneficiary counseling, such as with [www.medicare.gov](http://www.medicare.gov).

Volunteers who use their own computer or device and/or work from home must follow the same procedures safeguarding protected client information as on-site computer use.

SHIINE believes social media, when used appropriately, can be a powerful tool to increase awareness, support and a sense of community. Social media should be used by SHIINE staff and volunteers responsibly. The same principles and policies that apply to any volunteer role apply to all activities online especially in regard to the privacy of beneficiaries.

A volunteer’s failure to utilize internet protocol can lead to disciplinary action.

## **Security Breach Procedure: Reporting lost or stolen consumer information**

Upon discovery that confidential beneficiary information has been stolen or lost, a volunteer immediately notifies her or his SHIINE Regional Coordinator.

The volunteer also submits an Incident Reporting Form describing the occurrence.

- These volunteer procedures are the same if a volunteer's personal computer or device is used for SHIINE purposes and its security is compromised.

The SHIINE Regional Coordinator notifies the statewide SHIINE Director.

- SHIINE will notify the South Dakota Attorney General within 24 hours. They will determine the likelihood of whether a South Dakota resident's protected information was or may be used by unauthorized persons.

## **SHIINE Reporting and Referral Software Use**

All of the policies related to general computer and Internet use also apply to SHIP NPR and SIRS use. The following additional policies apply to SHIP NPR and SIRS use:

- Volunteers who use SHIP NPR and SIRS are given their own user account and do not share these with other SHIINE staff or volunteers.
- When any volunteer with a SHIP NPR, SIRS, or Unique ID user account leaves SHIINE, the statewide SHIINE's Director notifies the site administration immediately.